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DEPARTMENT OF TRANSPORTATION AND RELATED AGENCIES APPROPRIATIONS FOR 1994

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Department of Transportation and Re...

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BEFORE A

SUBCOMMITTEE OF THE
COMMITTEE ON APPROPRIATIONS
HOUSE OF REPRESENTATIVES

ONE HUNDRED THIRD CONGRESS

FIRST SESSION

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DELACROIX DAVIS III, RICHARD E. EFFORD, CHERYL L. SMITH, and LINDA J. MUIR,
Subcommittee Staff

PART 1

1994 BUDGET JUSTIFICATIONS

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Research and Special Programs Administration	**801**
Saint Lawrence Seaway Development Corporation	**1001**
RELATED AGENCIES:	
Architectural and Transportation Barriers Compliance Board	**1033**
Interstate Commerce Commission	**1047**
Department of the Treasury:	
Saint Lawrence Seaway Toll Rebate Program	**1023**

Printed for the use of the Committee on Appropriations

DEPARTMENT OF TRANSPORTATION AND RELATED AGENCIES APPROPRIATIONS FOR 1994

HEARINGS

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U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1994

UNITED STATES COAST GUARD

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

1994 COAST GUARD BUDGET ESTIMATES

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U. S. COAST GUARD
FY 1994 CONGRESSIONAL STAGE BUDGET JUSTIFICATION

GENERAL STATEMENT OF REQUEST

For FY 1994, this budget proposes a funding level of $3.812 billion. Included in the total are $49 million from the Oil Spill Liability Trust Fund, and $32 million from the Boat Safety Account. In both operating and capital programs, this budget continues the focus on maritime safety, Law Enforcement, environmental safety, and national security missions. This budget also continues a strong emphasis by the Coast Guard toward improving the quality of life for its people, both in the workplace and living environments. In FY 1994, this budget request includes:

$2.61 billion for Operating Expenses, including $25 million from the Oil Spill Liability Trust Fund, and $32 million from the Boat Safety Account. This request funds continued operation and maintenance of a wide range of multipurpose vessels, aircraft, shore units, and aids-to-navigation. The 1994 request reflects a continued emphasis on critical law enforcement missions together with the ongoing efforts to provide for safety of the public, safety of the environment, and improvements in the quality of life for all Coast Guard personnel, particularly in the areas of housing and health care.

$414 million for capital improvement of the Coast Guard's vessel, aircraft and boat fleets, shore facilities, information management resources, and aids-to-navigation. This request includes $20 million from the Oil Spill Liability Trust Fund. Funding is requested to continue the replacement and modernization of major components of the Coast Guard's extensive operational vessel, boat and aircraft fleets, including buoy tenders, motor life boats, icebreakers -- and the last three replacement drug interdiction helicopters currently in use in the Caribbean. The request includes $35 million to modernize vessel traffic services and $119 million for shore facility renovation and construction to continue to ensure adequate working conditions for Coast Guard's widely dispersed personnel, including $22 million for public family quarters to ensure decent living conditions for eligible Coast Guard military members and their dependents.

$23 million for Environmental Compliance and Restoration, to carry out Coast Guard's responsibility, under Chapter 19 of Title 14 of the U.S. Code, to ameliorate environmental problems resulting from construction and operation of current and former Coast Guard facilities.

GENERAL STATEMENT OF REQUEST

$12.9 million for Alteration of Bridges, to continue or begin alterations on the following bridges: Burlington Northern Railroad Bridge, Burlington, Iowa; Sidney Lanier Bridge, Brunswick, Georgia; Florida Avenue Bridge, New Orleans, Louisiana; and CSX-L&N Railroad Bridge, Pascagoula, Mississippi. In addition, contract and design work is scheduled to begin on projects at Fort Madison, Iowa, and Chelsea, Massachusetts.

$64 million for Reserve Training, to maintain a trained and ready Military Selected Reserve of 8,000 members.

$25 million for Research, Development, Test, and Evaluation, including $4.457 million from the Oil Spill Liability Trust Fund, to provide for the development of equipment and methods which contribute to increasing the productivity of Coast Guard's operating and regulatory programs.

$39.7 million for Boat Safety Grants, including mandatory funds of $7.5 million persuant to Title V of P.L. 102-587, to assist in the development and implementation of a coordinated National Boating Safety Program.

$548.7 million to fund retired pay, annuities, and medical care for retired military personnel and former Lighthouse Service members, their dependents and survivors.

$50 million, available without further appropriation from the Oil Spill Liability Trust Fund, to finance oil spill response and cleanup and initial damage assessment activities resulting from oil spills. In addition, the Coast Guard, persuant to the Oil Pollution Act of 1990, will pay valid uncompensated claims of parties suffering damages from oil spills [estimated at the $25 million level for FY 1994].

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RESOURCE SUMMARY -- FINANCING

(Dollars in thousands)

APPROPRIATION	BUDGET AUTHORITY		
	1992	*1993*	*1994*
Operating Expenses....(1)	2,493,462	2,558,065	2,609,747
Acquisition, Construction, and Improvements ....(2)	401,500	340,000	414,000
Environmental Compliance, and Restoration....	21,500	22,000	23,057
Alteration of Bridges	11,100	12,600	12,940
Retired Pay	487,700	519,700	548,774
Reserve training ....(3)	75,000	73,000	64,000
Research, Development, Test and Evaluation ....(4)	29,150	27,815	25,000
Boat Safety Account ....(5)	35,000	37,250	39,750
Emergency Fund (OSLTF)	16,294	50,000	50,000
Payment of Claim (OSLTF)	82	25,000	25,000
Miscellaneous Trust Funds	28	80	80
Total net	3,570,816	3,665,510	3,812,348

NOTE: The following footnotes reflect dollars in thousands:

(1) For comparability purposes, this table includes $35,000 in 1992, $32,250 in 1993 and 1994 from the Boat Safety Account. Also includes $153,190 in 1992, and $253,000 in 1993 transferred from the Department of Defense. In addition, also includes $20,000 in 1992 for Hurricane Andrew and Inki Relief Emergency Supplemental pursuant to P.L.102-368. Furthermore, includes $31,876 in 1992 and $25,000 in 1993 and 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses).

(2) For comparability purposes, this table includes $33,822 in 1992, $35,640 in 1993 and $20,000 in 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses). Also includes $11,500 in 1992 for Hurricane Andrew Emergency Supplemental pursuant to P.L. 102-368. In addition, also includes $35,000 in 1994 which is also part of the President's investment initiatives.

(3) Includes $50,000 in 1992 and 1993 transferred from the Department of Defense.

(4) For comparability purposes, this table includes $5,595 in 1993 and $4,457 in 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses).

(5) Includes Mandatory Funds $5,000 in 1993 and $7,500 in 1994 pursuant to Title V of P.L. 102-587.

RESOURCE SUMMARY — FINANCING

(Dollars in thousands)

APPROPRIATION	PROGRAM LEVEL		
	1992	1993	1994
Operating Expenses ...(1)	2,458,129	2,593,215	2,609,747
Acquisition, Construction, and Improvements ...(2)	295,252	404,360	420,775
Environmental Compliance and Restoration ...	19,413	22,000	23,057
Alteration of Bridges ...	11,306	12,620	12,940
Retired Pay ...	478,414	519,700	548,774
Reserve Training ...(3)	74,958	73,000	64,000
Research, Development, Test and Evaluation ...(4)	20,458	35,815	25,000
Boat Safety Account ...(5)	34,444	37,250	39,750
Emergency Fund (OSLTF) ...	18,450	50,000	50,000
Payment of Claims (OSLTF) ...	82	25,000	25,000
Supply Fund ...	43	45	47
Yard Fund ...	10,830	337	898
Miscellaneous Trust Funds ...	75	198	201
Total net ...	3,421,854	3,773,540	3,820,189

NOTE: The following footnotes reflect dollars in thousands:

(1) For comparability purposes, this table includes $35,000 in 1992, $32,250 in 1993 and 1994 from the Boat Safety Account. Also includes $153,190 in 1992, and $253,000 in 1993 transferred from the Department of Defense. In addition, also includes $20,000 in 1992 for Hurricane Andrew and Iniki Relief Emergency Supplemental pursuant to P.L.102-368. Furthermore, includes $31,876 in 1992 and $25,000 in 1993 and 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses).

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(5) Includes Mandatory Funds $5,000 in 1993 and $7,500 in 1994 pursuant to Title V of P.L. 102-587.

RESOURCE SUMMARY — FINANCING

(Dollars in thousands)

APPROPRIATION	OUTLAYS		
	1992	1993	1994
Operating Expenses ....(1)	2,406,889	2,604,689	2,542,161
Acquisition, Construction, and Improvements ....(2)	344,616	404,037	386,809
Environmental Compliance and Restoration	17,344	18,489	20,963
Alteration of Bridges	2,925	12,554	18,101
Retired Pay	461,108	505,102	544,413
Reserve Training	76,398	66,214	65,170
Research, Development, Test and Evaluation ....(3)	22,757	29,140	27,096
Boat Safety Account	71,113	67,739	69,668
Pollution Fund	27	30	......
Emergency Fund (OSLTF)	15,804	50,000	50,000
Payment of Claims (OSLTF)	82	25,000	25,000
Trust Fund Share of Expenses (OSLTF)	65,698	66,235	49,457
Supply Fund	3,087	400	400
Yard Fund	12,398	6,050	–2,741
Gift Fund	–21	80	80
Miscellaneous Trust Funds	–314	–324	–335
Total net	3,499,911	3,855,435	3,796,241

NOTE: The following footnotes reflect dollars in thousands:

(1) For comparability purposes, this table excludes $35,000 in 1992, $32,250 in 1993, and 1994 from the Boat Safety Account and $31,876 from the Oil Spill Liability Trust Funds (Trust Fund Share of Expenses) in FY 1992 and $25,000 in 1993 and 1994.

(2) For comparability purposes, this table excludes $33,822 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses) in FY 1992 and $35,640 in 1993 and $20,000 in 1994.

(3) For comparability purposes, this table excludes $5,595 in 1993 and $4,457 in 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses).

DEPARTMENT OF TRANSPORTATION -- COAST GUARD
RESOURCE SUMMARY - STAFFING

	POSITIONS (FULL-TIME PERMANENT)			*FTE (1) (FULL-TIME EQUIVALENT)*		
DIRECT FUNDED – BY APPROPRIATION:	*1992 Authorized*	*1993 Estimate*	*1994 Estimate*	*1992 Actual*	*1993 Estimate*	*1994 Estimate*
Operating Expenses:						
Military........................	38,019	38,286	37,840	38,153	38,051	37,803
Civilian........................	5,206	5,169	5,072	5,090	5,204	5,101
Acquisition, Construction, and Improvements:						
Military........................	351	347	411	331	327	359
Civilian........................	299	303	303	267	279	279
Environmental Compliance and Restoration:						
Military........................	4	11	11	3	7	11
Civilian........................	49	62	62	22	56	62
Reserve Training:						
Military........................	598	570	482	598	570	482
Civilian........................	113	106	106	100	100	100
Research, Development, Test and Evaluation:						
Military........................	54	59	54	53	53	48
Civilian........................	96	96	93	78	93	90
Yard:						
Military........................	24	24	24	24	24	24
Civilian........................	654	654	654	734	632	632
SUBTOTAL, DIRECT FUNDED:						
Military........................	39,050	39,297	38,822	39,162	39,032	38,727
Civilian........................	6,417	6,390	6,290	6,291	6,364	6,264
REIMBURSABLES:						
Operating Expenses:						
Military..(2)...................	109	127	116	109	127	116
Civilian..(2)...................	19	22	22	19	20	20
TOTAL – Military............	39,159	39,424	38,938	39,271	39,159	38,843
TOTAL – Civilian..(3).......	6,436	6,412	6,312	6,310	6,384	6,284

NOTE: (1) Operating Expenses includes 134 Youth Opportunity Full-time Equivalent in 1992 and 140 each in FY 1993 and 1994.

(2) FY 1992 Reimburables reflet actual positions.

(3) Civilian FTP and FTE include Executive Order Reductions (64 in 1993 and 100 in 1994).

1994 COAST GUARD BUDGET SUMMARY

EXHIBIT 1

(dollars in thousands)

Appropriation	Category	1992 Actual	1993 Estimate	1994 Estimate
Operating expenses	Appropriation..........	$2,493,462	$2,558,065	$2,609,747
	Outlays..................	$2,406,889	$2,604,689	$2,542,161
	Military Positions.....	38,019	38,286	37,840
	Civilian Positions.....	5,206	5,169	5,072
Acquisition, construction, and improvements	Appropriation..........	$401,500	$340,000	$414,000
	Outlays..................	$344,616	$404,037	$386,809
	Military Positions.....	351	347	411
	Civilian Positions.....	299	303	303
Evironmental compliance and restoration account	Appropriation..........	$21,500	$22,000	$23,057
	Outlays..................	$17,344	$18,489	$20,963
	Military Positions.....	4	11	11
	Civilian Positions.....	49	62	62
Alteration of bridges	Appropriation..........	$11,100	$12,600	$12,940
	Outlays..................	$2,925	$12,554	$18,101
Retired pay	Appropriation..........	$487,700	$519,700	$548,774
	Outlays..................	$461,108	$505,102	$544,413
Reserve Training	Appropriation..........	$75,000	$73,000	$64,000
	Outlays..................	$76,398	$66,214	$65,170
	Military Positions.....	598	570	482
	Civilian Positions.....	113	106	106
Research, development, test and evaluation	Appropriation..........	$29,150	$27,815	$25,000
	Outlays..................	$22,757	$29,140	$27,096
	Military Positions.....	54	59	54
	Civilian Positions.....	96	96	93
Boat safety account	Appropriation .....(1)	$35,000	$37,250	$39,750
	Outlays..................	$71,113	$67,739	$69,668
Pollution Fund	Outlays..................	$27	$30	....
Emergency fund (OSLTF) (definite / indefinite, special fund)	Appropriation..........	$16,294	$50,000	$50,000
	Outlays..................	$15,804	$50,000	$50,000
Payment of claims (OSLTF) (definite / indefinite, special fund)	Appropriation..........	$82	$25,000	$25,000
	Outlays..................	$82	$25,000	$25,000
Trust fund share of expenses (OSLTF) (definite / indefinite, special fund)	Appropriation .....(2)	....	....	....
	Outlays..................	$65,698	$66,235	$49,457
Coast Guard supply fund	Outlays..................	$3,087	$400	$400

(Continued on next page)

1994 COAST GUARD BUDGET SUMMARY (Cont) EXHIBIT I

(dollars in thousands)

Appropriation	Category	Actual	Estimate	Estimate
Coast Guard yard fund	Outlays..................	$12,398	$6,050	-$2,741
	Military Positions.....	24	24	24
	Civilian Positions.....	654	654	654
Coast Guard general gift (permanent, indefinite)	Appropriation..........	$28	$80	$80
	Outlays..................	-$21	$80	$80
Miscellaneous trust revolving funds	Outlays..................	-$314	-$324	-$335
Totals......................	Appropriation..........	$3,570,816	$3,665,510	$3,812,348
	Outlays..................	$3,499,911	$3,855,435	$3,796,241
	Military Positions.....	39,050	39,297	38,822
	Civilian Positions.....	6,417	6,390	6,290

NOTES: (1) Boat safety account excludes transfers of $35,000 in 1992, $32,250 in 1993 and 1994 to the Operating Expenses appropriation.

(2) Oil spill liability trust fund account excludes transfers of $31,876 in OE and $33,822 in AC&I in 1992 and $25,000 in OE, $35,640 in AC&I, $5,595 in RDT&E in 1993, and $25,000 in OE $20,000 in AC&I and $4,457 in RDT&E in 1994.

FY 1994

COMPUTER SYSTEMS SECURITY

For FY 1994, no discreet funding items are being requested in this budget to implement computer systems security measures, as defined in OMB Circular A-130.

FY 1994

CONSULTING SERVICES

The Coast Guard's FY 1994 request contains an estimated $5,855,000 for advisory and assistance services, as defined in the Office of Management and Budget's (OMB) Circular A-120 dated January 4, 1988. The **Operating Expenses** (OE) appropriation request includes an estimate of $4,045,000 which include services for Software and Administrative Support and Engineering and Technical Services. The **Acquisition, Construction, and Improvements** (AC&I) appropriation contains an estimate of $1,660,000 which includes funding for Management and Professional Support Services. The **Research, Development, Test, & Evaluation** (RDT&E) appropriation includes an estimate of $150,000 which include various Program areas such as Surveillance Systems or Information and Communications.

FY 1994

WORKING CAPITAL FUND

Costs of Services to be provided by the Office of the Secretary Working Capital Fund in 1994 are estimated to be $20,290,000.

OPERATING EXPENSES

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase of not to exceed [eight] *four* passenger motor vehicles for replacement only; payments pursuant to section 156 of Public Law 97-377, as amended (42 U.S.C. 402 note), and section 229(b) of the Social Security Act (42 U.S.C. 429(b)); and recreation and welfare; [$2,558,000,000] *$2,609,747,000*, of which [$253,000,000 shall be available only to the extent transferred from the Department of Defense; of which] $25,000,000 shall be derived from the Oil Spill Liability Trust Fund; and of which $32,250,000 shall be expended from the Boat Safety Account: *Provided*, That the number of aircraft on hand at any one time shall not exceed two hundred and twenty-three, exclusive of planes and parts stored to meet future attrition: *Provided further*, That none of the funds appropriated in this or any other Act shall be available for pay or administrative expenses in connection with shipping commissioners in the United States: *Provided further*, That none of the funds provided in this Act shall be available for expenses incurred for yacht documentation under 46 U.S.C. 12109, except to the extent fees are collected from yacht owners and credited to this appropriation. *(Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Program and Financing (in thousands of dollars)

Identification code: *69-0201-0-1-999*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
	Direct Program:			
00.01	Search and rescue	336,961	356,666	362,674
00.02	Aids to navigation	458,451	484,186	483,484
00.03	Marine safety	289,282	307,304	311,177
00.04	Marine environmental protection	188,423	200,837	205,987
00.05	Enforcement of laws and treaties	824,982	865,533	875,933
00.06	Ice operations	79,541	83,964	84,201
00.07	Defense readiness	114,613	121,228	117,148
00.08	Headquarters administration	165,876	173,497	169,143
00.91	Total direct program	2,458,129	2,593,215	2,609,747
01.01	Reimbursable program	73,182	96,150	93,936
10.00	Total obligations	2,531,311	2,689,365	2,703,683
	Financing:			
21.40	Unobligated balance available, start of year	....	−35,150	....
24.40	Unobligated balance available, end of year	35,150	....	....
25.00	Unobligated balance expiring	182	....	....
39.00	**Budget authority (gross)**	2,566,644	2,654,215	2,703,683

Note: Numbers may not add due to rounding.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Program and Financing (in thousands of dollars) p.2

Identification code: *69-0201-0-1-999*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Budget Authority:			
	Current:			
40.00	Appropriation	2,273,396	2,247,750	2,552,497
42.00	Transferred from other accounts	153,190	253,065	....
43.00	**Appropriation (adjusted)**	2,426,586	2,500,815	2,552,497
	Permanent:			
68.00	Spending authority from offsetting collections (new)	140,058	153,400	151,186
	Relation of obligations to outlays:			
71.00	Total obligations	2,531,311	2,689,365	2,703,683
72.40	Obligated balance, start of year	602,637	568,705	499,981
74.40	Obligated balance, end of year	–568,705	–499,981	–510,317
77.00	Adjustments in expired accounts	–18,296	....	....
87.00	Outlays (gross)	2,546,947	2,758,089	2,693,347
	Adjustments to budget authority and outlays:			
	Deductions for offsetting collections:			
88.00	Federal funds (DoD and other)	–55,344	–84,063	–86,693
88.00	Federal funds (OCDETF)	–890	–910	–906
88.30	Trust funds (Boat safety and administration)	–35,700	–32,895	–32,895
88.30	Trust funds (Oil spill liability trust fund)	–31,876	–25,000	–25,000
88.40	Non–Federal sources	–16,248	–10,532	–5,692
88.90	Total, offsetting collections	–140,058	–153,400	–151,186
89.00	**Budget authority (net)**	2,426,586	2,500,815	2,552,497
90.00	**Outlays (net)**	2,406,889	2,604,689	2,542,161

COAST GUARD -- Operating Expenses

PROGRAM AND PERFORMANCE

To carry out its unique duties as a peacetime operating agency and one of the military services, the Coast Guard employs multipurpose vessels, aircraft, and shore units, strategically located along the coasts and inland waterways of the United States and in selected areas overseas. The 1994 Operating Expense budget request represents essentially a current services level of program activity with few program expansions. This request reflects an emphasis on protection of the marine environment, safety for the maritime public, and maintenance of a quality Coast Guard workforce.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Object Classification (in thousands of dollars)

Identification code: *69-0201-0-1-999*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full-time permanent	161,974	170,325	168,439
11.3	Other than full-time permanent	9,861	10,408	10,291
11.5	Other personnel compensation	6,148	6,491	6,419
11.7	Military personnel	983,664	1,027,577	1,024,502
11.8	Special personal services payments	2,110	2,227	2,203
11.9	Total personnel compensation	1,163,757	1,217,028	1,211,854
12.1	Civilian personnel benefits	35,341	37,541	37,596
12.2	Military personnel benefits	93,804	98,335	97,740
13.0	Benefits for former personnel	7,364	9,354	11,920
21.0	Travel and transportation of persons	98,913	103,212	105,176
22.0	Transportation of things	52,710	57,284	55,281
23.2	Rental payments to others	34,160	35,984	36,589
23.3	Communications, utilities, and miscellaneous charges	109,110	112,039	113,889
24.0	Printing and reproduction	7,642	7,868	8,114
25.1	Consulting Services	262	4,895	4,045
25.2	Other services	392,381	431,083	444,857
26.0	Supplies and materials	343,148	363,172	367,406
31.0	Equipment	48,902	53,311	53,972
32.0	Lands and structures	1,854	1,915	1,967
42.0	Insurance claims and indemnities	1,886	2,922	2,072
43.0	Interest and dividends	17	18	15
91.0	Unvouchered	2	4	4
99.0	Subtotal, direct obligations	2,391,253	2,535,965	2,552,497
99.0	Reimbursable obligations	140,058	153,400	151,186
99.9	Total obligations	2,531,311	2,689,365	2,703,683

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Personnel Summary

Identification code: *69-0201-0-1-999*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Direct:			
Military: Total compensable workyears:			
Full-time equivalent employment	38,153	38,051	37,803
Civilian: Total compensable workyears:			
Full-time equivalent employment	5,090	5,204	5,101
Full-time equivalent of overtime and holiday hours	114	120	120
Reimbursable:			
Military: Total compensable workyears:			
Full-time equivalent employment	109	127	116
Civilian: Total compensable workyears:			
Full-time equivalent employment	19	20	20

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
OPERATING EXPENSES
Budget Authority (dollars in thousands)

Program by activities:	*1992 Actual* Full-time perm.pos.	 Appro-priation	*1993 Estimate* Full-time perm.pos.	 Appro-priation	*1994 Estimate* Full-time perm.pos.	 Appro-priation
1. Search and rescue....................	6,345	366,092	6,405	377,022	6,377	387,799
2. Aids to navigation....................	8,632	498,002	8,695	511,935	8,501	517,070
3. Marine safety........................	5,438	313,722	5,519	324,858	5,471	332,657
4. Marine environmental protection..	3,544	204,454	3,607	212,368	3,622	220,156
5. Enforcement of laws and treaties..	15,609	900,306	15,544	915,133	15,401	936,707
6. Ice Operations........................	1,500	86,474	1,508	88,742	1,480	90,038
7. Defense readiness....................	2,157	124,412	2,177	128,007	2,060	125,320
8. Headquarters administration.......	[1,700]	[165,876]	[1,660]	[173,497]	[1,530]	[169,143]
Total appropriation or estimate...	43,225	2,493,462	43,455	2,558,065	42,912	2,609,747
(Military).......................	38,019		38,286		37,840	
(Civilian).......................	5,206		5,169		5,072	

NOTE: numbers below reflect dollars in thousands:
Includes $153,190 in 1992 and 253,000 in 1993 from the Department of Defense. Also includes $65.1 in 1993 from the Office of National Drug Control Policy (ONDCP) pursuant to P.L. 100–690. In addition, includes $35,000 in 1992, $32,250 in 1993, $32,250 in 1994 from the Boat Safety account and $31,876 in 1992, $25,000 both in 1993 and 1994 from the Oil Spill Liability Trust Fund (Trust fund share of expenses).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1994
OPERATION EXPENSES-JUSTIFICATION

			POSITIONS		FTE		PERS	O&M	($000) CG
CAT	TITLES	QTR	MIL	CIV	MIL	CIV	FUNDS	FUNDS	REQUEST
I.	PROGRAM REDUCTIONS								
	A. EXECUTIVE ORDER BASE REDUCTIONS:								
	1. CIVIL SERVICE PERSONNEL REDUCTION	4	0	-142	0	-140	-7,368	0	-7,368
	2. ADMINISTRATIVE EXPENSES REDUCTION	4	0	0	0	0	0	-5,512	-5,512
	B. TERMINATION OF ONE-TIME COSTS	4	0	0	0	0	-1,512	-1,735	-3,247
	C. OVERSEAS LORAN FACILITY CLOSURES:								
	1. CLOSURE OF FAR EAST SECTION (FESEC) LORAN SITES	4	-105	0	-105	0	-3,820	-3,396	-7.216
	2. COAST GUARD FAR EAST SECTION (FESEC) CLOSURE	4	-32	0	-30	0	-1,282	-517	-1,799
	D. REDUCE ANTI-SUBMARINE WARFARE (ASW) MISSION CAPABILITIES	4	-158	0	-158	0	-5,838	0	-5,838
	E. AIRCRAFT BASE REDUCTIONS:								
	1. ACCELERATE TRANSITION FROM HH-3F TO HH-60J HELICOPTERS	2	-106	0	-53	0	-2,274	0	-2,274
	2. TERMINATE AEW EC-130V DETECTION AND MONITORING OPERATIONS	4	-15	0	-15	0	-716	0	-716
	3. AUSTERE LOGISTICS AIRCRAFT EFFICIENCY	4	0	0	0	0	0	-550	-550
	F. CUTTER BASE REDUCTIONS:								
	1. 210-FOOT CUTTER MAJOR MAINTENANCE AVAILABILITY (MMA) OPERATIONS AND MAINTENANCE BASE REDUCTION	4	0	0	0	0	0	-1,338	-1,338
	2. DECOMMISSION USCGC MACKINAW	1	-86	0	-22	0	-808	-354	-1,162
	G. VESSEL IDENTIFICATION AND DOCUMENTATION SYSTEM (VIDS) BASE REDUCTION	4	-4	-2	-4	-2	-361	-2,250	-2,611
	H. TERMINATE PRESIDENTIAL SECURITY DETAIL IN KENNEBUNKPORT, ME	3	-58	0	-44	0	-1,520	-261	-1,781
	I. COMMUNCATIONS SYSTEM MANAGEMENT EFFICIENCY	4	-28	0	-28	0	-1,013	0	-1,013
	SUBTOTAL, CATEGORY 1		-592	-144	-459	-142	-26,512	-15,913	-42,425

OPERATION EXPENSES-JUSTIFICATION

CAT	TITLES	QTR	POSITIONS MIL	POSITIONS CIV	FTE MIL	FTE CIV	PERS FUNDS	O&M FUNDS	($000) CG REQUEST
II.	BUILT-IN CHANGES								
	A. ANNUALIZATIONS:								
	1. ANNUALIZATION OF FY 1993 PAY RAISE	1	0	0	0	0	12,720	0	12,720
	2. ANNUALIZATION OF FY 1993 PART YEAR FUNDING	4	0	0	135	14	5,297	0	5,297
	B. COST OF LIVING ALLOWANCES:								
	1. NON-PAY COST OF LIVING ADJUSTMENT (2.7%)	4	0	0	0	0	0	30,300	30,300
	2. EXTRAORDINARY HEALTH CARE COST INCREASE	4	0	0	0	0	0	6,942	6,942
	C. RESTORATION OF BASE REDUCTIONS:								
	1. NET BASE ADJUSTMENT FOR ONE-TIME SUPPLEMENTAL APPROPRIATIONS	4	0	0	0	0	0	5,311	5,311
	2. RESTORE FY 1993 210-FOOT CUTTER MAJOR MAINTENANCE AVAILABILITY (MMA) BASE REDUCTION	4	0	0	0	0	0	1,180	1,180
	3. RESTORE FY 1991 HH-65A HELICOPTER OPERATIONS & MAINTENANCE BASE REDUCTION	4	0	0	0	0	0	5,900	5,900
	D. MANDATED INITIATIVES:								
	1. FUNDING FOR REIMBURSABLE ACCOUNTS	4	0	0	0	0	3,037	157	3,194
	2. PERMANENT CHANGE OF STATION (PCS) ALLOWANCE INCREASES	4	0	0	0	0	0	1,714	1,714
	3. MASS TRANSIT BENEFIT PROGRAM	2	0	4	0	2	114	1,768	1,882
	E. INTEGRATION WITH DEPARTMENT OF DEFENSE SYSTEMS:								
	1. DEFENSE DATA NETWORK (DDN)	4	0	0	0	0	0	675	675
	2. COAST GUARD INTERFACE WITH DOD'S AUTOMATED HHG SYSTEM (TOPS)	2	6	0	3	0	140	885	1,025
	F. INTER-AGENCY REIMBURSEMENTS:								
	1. NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION (NOAA) PAYROLL PROCESSING REIMBURSEMENT	4	1	0	1	0	0	0	0
	SUBTOTAL, CATEGORY 2		7	4	139	16	21,308	54,832	76,140

OPERATION EXPENSES-JUSTIFICATION

CAT	TITLES	QTR	POSITIONS MIL	POSITIONS CIV	FTE MIL	FTE CIV	PERS FUNDS	O&M FUNDS	($000) CG REQUEST
III.	OPERATE NEW FACILITIES								
	A. SHORE FACILITY CONSTRUCTION FOLLOW-ON	4	0	0	0	0	0	2,329	2,329
	B. MARINE ENVIRONMENTAL PROTECTION FOLLOW-ON:								
	1. POLLUTION RESPONSE EQUIPMENT FOLLOW-ON	4	0	1	0	1	52	750	802
	C. NAVIGATION SYSTEMS FOLLOW-ON:								
	1. VESSEL TRAFFIC SERVICE (VTS) FOLLOW-ON	2	5	5	3	3	320	1,298	1,618
	2. DIFFERENTIAL GLOBAL POSITIONING SYSTEM (DGPS) FOLLOW-ON	2	31	0	16	0	850	1,000	1,850
	D. AIRCRAFT SYSTEMS FOLLOW-ON:								
	1. FORWARD LOOKING RADAR (FLAR) FOLLOW-ON	4	0	0	0	0	0	147	147
	E. COMMUNICATION SYSTEMS FOLLOW-ON:								
	1. INFORMATION RESOURCES MANAGEMENT (IRM) FOLLOW-ON	4	0	0	0	0	0	3,550	3,550
	2. COMMERCIAL SATELLITE COMMUNICATIONS ON COAST GUARD CUTTERS	4	0	0	0	0	0	300	300
	SUBTOTAL, CATEGORY 3		36	6	19	4	1,222	9,374	10,596

OPERATION EXPENSES-JUSTIFICATION

CAT	TITLES		POSITIONS		FTE		PERS	O&M	($000) CG
		QTR	MIL	CIV	MIL	CIV	FUNDS	FUNDS	REQUEST
IV.	IMPROVE MISSION EFFECTIVENESS								
	A. PERSONNEL SUPPORT:								
	1. WORK-LIFE INITIATIVES	2	8	22	4	11	802	2,294	3,096
	B. MARINE SAFETY:								
	1. LICENSING OPERATORS OF FEDERALLY DOCUMENTED UNINSPECTED FISHING VESSELS	2	0	3	0	2	131	56	187
	2. PASSENGER VESSEL SAFETY PROGRAM	2	5	6	3	3	462	184	646
	C. MARINE ENVIRONMENTAL PROTECTION:								
	1. SPILL RESPONSE EXERCISE SUPPORT STANDARDIZATION TEAM	2	19	6	10	3	969	0	969
	2. NATIONAL RESPONSE CENTER (NRC) SUPPORT RESOURCES	2	7	0	4	0	164	0	164
	D. IMPROVE LIVING MARINE RESOURCE ENFORCEMENT	2	64	0	32	0	1,874	500	2,374
	SUBTOTAL, CATEGORY 4		103	37	53	19	4,402	3,034	7,436
	SUBTOTAL, CATEGORIES 2-4		146	47	211	39	26,932	67,240	94,172
	GRAND TOTAL, CATEGORIES 1-4		-446	-97	-248	-103	420	51,327	51,747

FY 1994

DETAILED EXPLANATION OF CHANGES

I. PROGRAM REDUCTIONS .... -$42,425,000

Personnel:	POS	FTE
Military	-592	-459
Civilian	-144	-142

A. EXECUTIVE ORDER BASE REDUCTIONS: [-$12,880,000]

1. Civil Service Personnel Reduction........ -$7,368,000

This reduction implements Executive Order 12839 which requires each executive agency or department with over 100 employees to eliminate not less than four percent of its civilian positions (measured on a full-time equivalent (FTE) basis) over three fiscal years. On a total FY93 base of 6,448 FTE (across all appropriations), this will amount to a total reduction of 258 Coast Guard FTE by the close of FY95. To achieve the FY95 FTE target of 6190 (6,448 - 258) and to be consistent with the specified targets in the Executive Order, a reduction of 64 FTE will be taken in FY93, 100 in FY94, and 94 in FY95. Because this request is a decrement on the FY93 base, the FTP/FTE reduction requested below does not include the 64 FTP/FTE reduction already taken in FY93. However, the associated personnel funding reduction is based on a total of 204 (140 + 64) positions to account for the funding associated with the FY93 FTP/FTE reduction as well as the additions and reductions to the FY94 OE (increment) and EC&R and RDT&E appropriations. The accompanying table accounts for adjustments used to derive the requested reduction:

	FY 1993		FY 1994		FY 1995	
	FTP	FTE	FTP	FTE	FTP	FTE
Base brought forward:	6476	6448	6412	6384	6312	6284
Executive Order reductions:	-64	-64	-100	-100	-94	-94
	6412	6384	6312	6284	6218	6190

	FTP	FTE
FY94 OE reductions:		
BUDCAT I:	-2	-2
FY94 OE additions:		
BUDCAT II:	4	16
BUDCAT III:	6	4
BUDCAT IV:	37	19

(Continued on next page)

I. PROGRAM REDUCTIONS (Cont)

A. EXECUTIVE ORDER BASE REDUCTIONS:

1. Civil Service Personnel Reduction (Cont)

FY94 EC&R Annualization:	0	6
FY94 RDT&E decrement:	-3	-3
Net changes all approps:	42	40
FY94 EO reductions:	100	100
Total reductions necessary be in compliance with EO:	142	140

Base/Request
($000)

	FTP		FTE			
	Mil	Civ	Mil	Civ	Pers. Funds	Total Funds
FY 1992 Base	0	5,206	0	5,090	$242,111	$242,111
FY 1993 Base	0	5,169	0	5,204	$254,512	$254,512
FY 1994 Request	0	-142	0	-140	$-7,368	$-7,368

2. Administrative Expenses Reduction........ $-5,512,000

The purpose of Executive Order 12837 of 10 February 1993, is to achieve a real reduction in the administative costs of Federal Agencies. In order to accomplish that goal, agencies are required to submit a FY 1994 budget request that reflects no less than a 3 percent reduction in administrative expenses. Therefore, in compliance with the Executive Order, this FY 1994 $5,512,000 reduction reflects the initial 3 percent (of a cummlative 4 year, 14 percent) reduction to administrative costs within the operating expenses appropriation.

(Continued on next page)

I. PROGRAM REDUCTIONS (Cont)

A. EXECUTIVE ORDER BASE REDUCTIONS:

2. Administrative Expenses Reduction(Cont)

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1993 Base 1/	0	0	0	0	$0	$183,733	$183,733
FY 1994 Request	0	0	0	0	$0	-$5,512	-$5,512

1/ Base figure represents that portion of FY 1993 Operating Expenses associated with administrative expenses.

B. TERMINATION OF ONE-TIME COSTS................. -$3,247,000

Termination of one-time start-up costs for programs funded in FY 1993 will result in the following program reductions in FY 1994:

	AMOUNT	
Item	Standard Personnel Costs	One Time O&M Costs
Safety & Environmental Health Field Support............................	-$160,000	
Shore Facility Management.................	-194,000	
Shore Facility Construction follow-on.....	-29,000	
Marine Safety Training & Assistance Team..	-52,000	
Nonindigenous Aquatic Nuisance Species.................................	-29,000	
Pre-Positioned Equipment Sites Maintenance.............................	-3,000	
Marine Inspection Program Resources	-233,000	
Search and Rescue Facilities.............	-110,000	-45,000
Vessel Traffic System follow-on...........	-35,000	
Differential Global Positioning System....	-51,000	
110-FT WPB Crewing/Maintenance............	-41,000	
Fisheries Law Enforcement Staff...........	-34,000	
Training..................................	-124,000	
Coast Guard-Owned Housing Operation & Maintenance.................	-58,000	
Close In Weapons System (CIWS) Billets....	-62,000	
Information Resource Management follow-on.	-174,000	-590,000
Improve Financial Management..............	-123,000	
Supply Center Brooklyn Relocation		-1,100,000
Sub Total.............................	-$1,512,000	-$1,735,000
Total.............................	-$3,247,000	

I. PROGRAM REDUCTIONS (Cont)

C. OVERSEAS LORAN FACILITY CLOSURES: [-$9,015,000]

1. Closure of Far East Section (FESEC) Loran Sites....................-$7,216,000

As of October 1, 1993, there will no longer be a need for the U.S. Coast Guard to operate overseas Loran stations in the Far East. The FESEC stations in Japan at: Iwo Jima, Hokkaido, Marcus Island, Geshashi, and the station at Barrigada, Guam will be turned over to the Host Nations, according to the desires of each nation, or the stations will be closed and the sites restored according to agreements signed between the U.S. and the Host Nation.

Base/Request
($000)

	FTP		FTE		Pers. Funds	Operations & Maint. Funds	Total Funds
	Mil	Civ	Mil	Civ			
FY 1993 Base	105	0	105	0	$4,278	$3,396	$7,674
FY 1994 Request1/	-105	0	-105	0	-$3,820	-$3,396	-$7,216

1/ FY 1994 request excludes base funding retained one year to accomplish personnel relocations.

2. Coast Guard Far East Section (FESEC) Closure................................ -$1,799,000

As of October 1, 1993, there will no longer be a need for the U.S. Coast Guard to operate overseas Loran stations in the Far East. These stations will be turned over to the Host Nations, according to the desires of each nation, or closed and the sites restored in accordance with existing bilateral agreements between the U.S. and the Host Nations. The Coast Guard's Far East Section (FESEC) exists primarily to support overseas Loran operations. Once Coast Guard involvement with Loran ends in the Far East, there will no longer be a need to maintain a permanent Loran support staff. Coast Guard involvement in most Loran activities supported by FESEC is expected to end in early FY94, at which time FESEC will be closed.

Closing this office will save the annual operating costs of supporting it, and will result in a reduction of 32 billets.

(Continued on next page)

I. PROGRAM REDUCTIONS (Cont)

C. OVERSEAS LORAN FACILITY CLOSURES:

2. Coast Guard Far East Section (FESEC) Closure (Cont)

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1993 Base 1/	32	0	32	0	$1,564	$517	$2,081
FY 1994 Request 2/	-32	0	-30	0	-$1,282	-$517	-$1,799

1/ Base does not include two billets: one which will become the Coast Guard liaison officer to U.S. Forces Japan; the other was a temporary billet established to facilitate FESEC LORSTA Closures.

2/ Two FTE are needed in FY94 to assist in closing FESEC Loran Stations and to assist Japanese authorities initially in operating these stations. Therefore, the request excludes this part year FTE and the base funding retained one year to accomplish personnel relocations.

D. REDUCE ANTI-SUBMARINE WARFARE (ASW) MISSION CAPABILITIES........................ -$5,838,000

A joint Coast Guard/Navy decision to remove all ASW equipment from the Hamilton Class High Endurance Cutters due to the reduced global ASW threat resulted in the disestablishment of the Coast Guard Sonar Technician rating. All FTP primarily engaged in carrying out the ASW mission are included in this reduction.

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	158	0	158	0	$5,882	$0	$5,882
FY 1993 Base	158	0	158	0	$6,054	$0	$6,054
FY 1994 Request1/	-158	0	-158	0	-$5,838	$0	-$5,838

1/ FY 1994 request excludes base funding retained one year to accomplish personnel relocations.

I. PROGRAM REDUCTIONS (Cont)

E. AIRCRAFT BASE REDUCTIONS: [-$3,540,000]

1. Accelerate Transition from HH-3F to HH-60J Helicopters............ -$2,274,000

Air Station Clearwater, Florida is the last unit to transition to the HH-60J helicopter. In addition to the assigned missions of a Coast Guard air station (e.g., search and rescue), Clearwater is the parent air station for all helicopters dedicated to Operation Bahamas, Turks and Caicos (OPBAT). For safety and efficiency reasons, the Coast Guard plans to transition Air Station Clearwater to the HH-60J over a 14 month period, beginning in the summer of 1993. This accelerated transition, made possible by the temporary use of Program Depot level Maintenance (PDM) airframes, permits the early retirement of the HH-3F helicopter and the associated early termination of HH-3F pilot and aircrew training programs. The billet reductions contained in this request are a direct result of the termination of HH-3F training. In addition, the increased operations and maintenance cost of implementing nine HH-60J OPBAT operational allowances are fully offset by a reduction of three HH-3F training aircraft and one HH-60J training aircraft (due to the delivery of the HH-60J flight simulator) at the Aviation Training Center in Mobile, AL.

Base/Request
($000)

	FTP		FTE				
	Mil	Civ	Mil	Civ	Pers. Funds	Operations & Maint. Funds	Total Funds
FY 1992 Base 1/	106	0	106	0	$4,559	$6,419	$10,978
FY 1993 Base 1/	106	0	106	0	$4,694	$8,986	$13,680
FY 1994 Request 2/	-106	0	-53	0	-$2,274	$0	-$2,274

1/ Base O&M represents incremental HH-60J O&M costs for operation of the HH-60J and does not include base funding for the HH-3F helicopter fleet being replaced by the HH-60J.

2/ FY 1994 request excludes the part year FTE and base funding retained one year to accomplish personnel relocations.

I. PROGRAM REDUCTIONS (Cont)

E. AIRCRAFT BASE REDUCTIONS:

2. Terminate AEW EC-130V Detection and Monitoring Operations................. -$716,000

The EC-130V is a modified HC-130 aircraft equipped with an Airborne Early Warning (AEW) system. The AEW system provides enhanced capability to detect, monitor, and track both air and surface targets. The Coast Guard conducted an Operational Evaluation (OPEVAL) of the EC-130V in fiscal year 1992 to determine its potential value to the fisheries law enforcement and search and rescue missions. Based on the information gained through operational experience with the aircraft over a one year period, it was determined that Coast Guard operation of the EC-130V would end in FY 1993. This reduction contains the personnel resources associated with the operations and maintenance of the AEW system.

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	15	0	15	0	$717	$0	$717
FY 1993 Base	-15	0	15	0	$738	$0	$738
FY 1994 Request 1/	-15	0	-15	0	-$716	$0	-$716

1/ FY 1994 request excludes base funding retained for one year to accomplish personnel relocations.

I. PROGRAM REDUCTIONS (Cont)

E. AIRCRAFT BASE REDUCTIONS:

3. Austere Logistics Aircraft Efficiency .... -$550,000

This request reduces the Coast Guard's base to reflect the purchase of an austere logistics aircraft (see AC&I request). The base reduction is the difference between the annual cost to lease an austere logistics aircraft and the annual cost to operate and maintain a Coast Guard-owned austere logistics aircraft. Personnel costs will not be affected by the purchase of the aircraft.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operations & Maint. Funds	Total Funds
FY 1992 Base 1/	0	0	0	0	$0	$1,310	$1,310
FY 1993 Base 1/	0	0	0	0	$0	$1,360	$1,360
FY 1994 Request	0	0	0	0	$0	-$550	-$550

1/ Base reflects lease cost only.

F. CUTTER BASE REDUCTIONS: [-$2,500,000]

1. 210-Foot Cutter Major Maintenance Availability (MMA) Operations and Maintenance Base Reduction.............. -1,338,000

Five 210-foot Medium Endurance Cutters (WMECs) will undergo Major Maintenance Availability (MMA) during FY 1994 which will preclude twelve quarters of operations for these cutters. The cost of operations is $115,700 per operating quarter.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operations & Maint. Funds	Total Funds
FY 1994 Request 1/	0	0	0	0	$0	-$1,338	-$1,338

1/ $50,000 retained in base for commissioning/decommissioning requirements.

I. PROGRAM REDUCTIONS (Cont)

F. CUTTER BASE REDUCTIONS:

2. Decommission USCGC Mackinaw............. -$1,162,000

This request decommissions the 49 year old icebreaker. The Coast Guard operates a fleet of 140 foot icebreaking tugs deployed throughout the Great Lakes which replace the capability of MACKINAW at a significant cost savings. The Coast Guard retains the capability to maintain the current shipping season which lasts from 31 March to 15 January.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operations & Maint. Funds	Total Funds
FY 1992 Base	86	0	86	0	$3,084	$1,469	$4,553
FY 1993 Base	86	0	86	0	$3,174	$1,516	$4,690
FY 1994 Request 1/	-86	0	-22	0	-$808	-$354	-$1,162

1/ FY 1994 request excludes the part year FTE and base funding retained one year to accomplish personnel relocations.

G. VESSEL IDENTIFICATION AND DOCUMENTATION SYSTEM (VIDS) BASE REDUCTION.................. -$2,611,000

This request would reduce the Vessel Identification and Documentation System (VIDS) Operationnal and Maintenance (O&M) base. The Coast Guard originally received an Operating Expenses (OE) allocation of $3.5 million to develop and operate VIDS. The VIDS project has since been incorporated into the Marine Information for Safety and Law Enforcement (MISLE) major acquisition project, combining it with the Marine Safety Network (MSN) and the Law Enforcement Information System (LEIS II). The project has now advanced to the stage of soliciting and awarding

(Continued on next page)

I. PROGRAM REDUCTIONS (Cont)

G. VESSEL IDENTIFICATION AND DOCUMENTATION SYSTEM (VIDS) BASE REDUCTION (CONT)

software contracts. This will require an increased emphasis on the developmental portion of the project and a (temporary) reduced emphasis on operational support aspects. This reduction is relative to the MISLE project being requested in the FY 1994 Acquisition, Construction, and Improvements (AC&I) appropriation.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operations & Maint. Funds	Total Funds
FY 1992 Base 1/	7	3	7	3	$614	$3,000	$3,614
FY 1993 Base 1/	7	3	7	3	$631	$2,250	$2,881
FY 1994 Request	-4	-2	-4	-2	-$361	-$2,250	-$2,611

1/ Three military billets and one civilian position will remain in the base to perform program management functions. Delays experienced in the project development prompted Congress to reduce the VIDS O&M base by $750,000 in FY 1993.

H. TERMINATE PRESIDENTIAL SECURITY DETAIL IN KENNEBUNKPORT, MAINE...................... -$1,781,000

The Coast Guard augmented the staffing at Station Portsmouth Harbor, ME and Air Station Cape Cod, MA to provide a Presidential Security Detail in support of the United States Secret Service protective operations in Kennebunkport for former President Bush. Projected Coast Guard support of future Secret Service operations for the former President do not require dedicated personnel at either unit. This request eliminates the billets and the operations and maintenance funds associated with the Presidential Security Detail from the Coast Guard's base.

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I. PROGRAM REDUCTIONS (Cont)

H. TERMINATE PRESIDENTIAL SECURITY DETAIL IN KENNEBUNKPORT, MAINE (Cont) -$1,781,000

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	58	0	58	0	$2,012	$261	$2,273
FY 1993 Base	58	0	58	0	$2,071	$261	$2,332
FY 1994 Request 1/	-58	0	-44	0	-$1,520	-$261	-$1,781

1/ FY 1994 request excludes the part year FTE and base funding retained one year to accomplish personnel relocations.

I. COMMUNICATIONS SYSTEM MANAGEMENT EFFICIENCY.................................... -$1,013,000

The proposed savings result from the automation of Communications Station (COMMSTA) Miami as it is rebuilt after Hurricane Andrew, the consolidation of COMMSTA Guam at the Marianas Section office in Guam and the Coast Guard-wide closure of 500KHZ MF-CW services. These initiatives produce a net savings after resources are redistributed within the communications system to provide management, operations and maintenance of the Coast Guard Data Network and watch positions at remote locations vital to these automation efforts. All of these actions will be completed by the end of FY 1993 which will produce a reduction of twenty-eight full-time equivalents.

Base/Request
($000)

	FTP		FTE		Pers.	Operations &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	111	1	111	1	$4,160	$524	$4,684
FY 1993 Base	111	1	111	1	$4,282	$541	$4,823
FY 1994 Request	-28	0	-28	0	-$1,013	$0	-$1,013

1/ Base figures include personnel and O&M associated with only COMMSTAs Guam and Miami as well as those watchstanders Coast Guard-wide associated with the 500khz watch requirement.

II. BUILT-IN CHANGES $76,140,000

Personnel:	FTP	FTE
Military	7	139
Civilian	4	16

A. ANNUALIZATIONS: [$18,017,000]

1. Annualization of FY 1993 Pay Raise....... $12,720,000

Funding is requested to annualize the FY 1993 pay raise. Recurring funds are required for the fourth quarter increment for the 3.7 percent increase in pay and other entitlements for military and civilian personnel which became effective January 1, 1993.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1993 Base 1/	0	0	0	0	$38,332	$0	$38,332
FY 1994 Request	0	0	0	0	$12,720	$0	$12,720

1/ FY93 base represents three quarters of military and civilian pay raise funded in FY 1993.

2. Annualization of FY 1993 Part Year Funding...................... $5,297,000

Certain projects for which resources were first provided in FY 1993 were funded for only part of the year. Additional funds and full-time equivalents are required to provide full year resources for the following items:

Item	Amount	FTE	
		Mil	Civ
Safety & Environmental Health Field Support Requirements...............	$554,000	14	2
Shore Facility Management...........	618,000	9	3
Shore Facility Construction Follow-on..........................	128,000	5	0
Marine Safety Training and Assistance Team....................	225,000	5	0
Nonindigenous Aquatic Nuisance Species............................	145,000	5	0

(Continued Next Page)

II. BUILT-IN CHANGES (Cont)

A. ANNUALIZATIONS:

2. Annualization of FY 1993 Part Year Funding(Cont)

Marine Inspection Program Resources	$840,000	16	0
SAR Facilities	661,000	28	0
Differential Global Positioning System (DGPS)	164,000	4	0
Vessel Traffic Service (VTS) Follow-on	164,000	7	0
110-Foot Patrol Boat Maintenance Support Personnel	154,000	7	0
Fisheries Law Enforcement Staff	171,000	3	0
Training	233,000	3	3
Coast Guard-Owned Housing Operation and Maintenance Personnel	264,000	10	0
Information Resource Management (IRM) Follow-on	503,000	8	3
Improve Financial Management	215,000	1	3
Close-in Weapons System Billets	258,000	10	0
Total	$5,297,000	135	14

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1994 Request	0	0	135	14	$5,297	$0	$5,297

B. COST OF LIVING ALLOWANCES: [$37,242,000]

1. Non-Pay Cost of Living Adjustment $30,300,000

Escalation in the price of goods and services during the previous fiscal year is a factor that must be accommodated to maintain the same level of service to the public in FY 1994. Funding is requested to provide a cost-of-living adjustment based on an inflation rate of 2.7 percent for all non-pay items.

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II. BUILT-IN CHANGES (Cont)

B. COST OF LIVING ALLOWANCES:

1. Non-Pay Cost of Living Adjustment (Cont)

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1993 Base 1/	0	0	0	0	$0	$1,122,205	$1,122,205
FY 1994 Request	0	0	0	0	$0	$30,300	$30,300

1/ Estimated FY 1993 non-pay direct obligations.

2. Extraordinary Health Care Cost Increase........................ $6,942,000

The Coast Guard is required by law to provide health care to its military members and their dependents. Health care bills must be paid regardless of the level of funding provided. Costs are passed through to the Coast Guard by the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), Department of Defense (DoD), and other non-federal contract providers. These sources of medical care are authorized and regulated by legislation, and the Coast Guard has no discretion with regard to their use by beneficiaries. Many in-house cost containment and quality assurance initiatives are being implemented, and the Coast Guard should see some level of cost avoidance resulting from the increase in the CHAMPUS deductible. However, the vast majority of Coast Guard health care costs are driven by DoD and the private sector, the costs of which continue to rise at double digit inflation rates. This supplemental funding will help cover cost growth until management initiatives to further control health care costs can be fully implemented.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	0	0	0	0	$0	$106,270	$106,270
FY 1993 Base	0	0	0	0	$0	$117,048	$117,048
FY 1994 Request	0	0	0	0	$0	$6,942	$6,942

II. BUILT-IN CHANGES (Cont)

C. RESTORATION OF BASE REDUCTIONS: [$12,391,000]

1. Net Base Adjustment for One-Time Supplemental Appropriations.......... $5,311,000

In FY 1992, the Coast Guard received (one-time, no year) funds in the Dire Emergency/Desert Shield/Desert Storm Supplemental Appropriation, Public Law 102-229. In FY 1992, $7.6 million of the $17.9 million appropriated was expended, leaving an unobligated balance of $10.311 million. In the Coast Guard's FY 1993 appropriation, a non-specific reduction of $10.311 million was enacted against the Operating Expenses (OE) base, which if not restored would leave unspecified programs/facilities unfunded beyond FY 1993.

In addition, late in FY 1992, the Coast Guard received (one-time, no year) funds through a supplemental appropriation, in the OE appropriation, to address extraordinary damages sustained as a result of hurricanes Andrew and Iniki, Public Law 102-368. In FY 1993 approximately $15 million of the $20 million appropriated is projected to be expended, leaving an unobligated balance of $5 million. That amount remains available until expended.

The combination of the unobligated balance of the hurricane Andrew supplemental ($5 million) and the funding contained in this budget item ($5.311 million) would restore the $10.311 million OE base reduction enacted in FY 1993 and preclude the termination of programs/facilities that have been funded only through FY 1993.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1994 Request	0	0	0	0	$0	$5,311	$5,311

2. Restore FY 1993 210-Foot Cutter Major Maintenance Availability (MMA) Base Reduction......................... $1,180,000

This request restores the one-time reduction to Operation and Maintenance (O&M) funds for the 210-foot cutters undergoing MMA during FY 1993. The MMA program is still in progress. This restoration funds the operations of the 210-foot cutters that will have completed availability in FY 1993.

(Continued on next page)

II. BUILT-IN CHANGES (Cont)

C. RESTORATION OF BASE REDUCTIONS:

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1994 Request 1/	0		0	0	$0	$1,180	$1,180

1/ FY93 reduction of -$1,143,000 adjusted for inflation.

3. Restore FY 1991 of HH-65A Helicopter Operations & Maintenance Base Reduction............................ $5,900,000

This request restores recurring aviation maintenance funds to support the Coast Guard's short range recovery helicopter LTS-101 engine maintenance contract. The July, 1990 Coast Guard-Lycoming settlement of claims, concerning the LTS-101 helicopter engine, provided for a Coast Guard sell-back of engine parts that were no longer required under the provisions of the power-by-the-hour maintenance contract. In FY 1991, the Coast Guard LTS-101 recurring maintenance base funding was reduced by $7.7M because of $7.7M in credits coming back to the Coast Guard under the parts sell-back provision.

In FY 1992, Congress restored $1.8M. to the LTS-101 recurring maintenance base, as only $5.9M in contract credit was available for parts returned to Lycoming. All credits realized under the parts sell-back provision have been exhausted. The requested funding will restore the required recurring LTS-101 engine maintenance base.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base 1/	0	0	0	0	$0	$4,079	$4,079
FY 1993 Base 1/	0	0	0	0	$0	$4,209	$4,209
FY 1994 Request	0	0	0	0	$0	$5,900	$5,900

1/ Base information reflects appropriated funds for LTS-101 engine maintenance, adjusted for inflation.

II. BUILT-IN CHANGES (Cont)

D. MANDATED INITIATIVES: [$6,790,000]

1. Funding for Reimbursable Accounts.......... $3,194,000

The Coast Guard makes annual reimbursements to the Department of Labor for the Federal Employee Compensation Fund (FEC) and for Unemployment Compensation for Ex-Servicemembers (UCX). These reimbursements are mandated by Titles 5 U.S.C. 8147 and 5 U.S.C. 8521-8525 respectively. Both FEC and UCX reimbursements are assessed in arrears. Mandated reimbursements for the FEC continue to increase, outpacing available funding. In addition, UCX reimbursements have almost doubled as a direct result of the passage of the Emergency Unemployment Compensation Act of 1991 (P.L. 102-164) which shortened the waiting period to receive benefits (from four weeks to one week) and extended their maximum duration (from thirteen weeks to twenty-six weeks). This request will cover the cost increases associated with these two mandatory reimbursements. Furthemore, the Coast Guard makes annual pro rata reimbursements to the Federal Aviation Administration (FAA) for costs incurred in managing the Department of Transportation civilian payroll and personnel systems. Increases to these accounts continue to outpace available funding. The requested funds will cover the cost increases associated with these mandated reimbursements.

Base/Request
($000)

	FY92 Base	FY93 Base	Total FY 1994 Requirement	FY94 Request
FEC	$4,695	$5,026	$5,497	$471
UCX	2,304	2,304	4,870	2,566
FAA	1,240	1,373	1,530	157
Total	$8,239	$8,703	$11,897	$3,194

II. BUILT-IN CHANGES (Cont)

D. MANDATED INITIATIVES

2. Permanent Change of Station (PCS) Allowance Increases.................... $1,714,000

This request provides funding for the estimated cost of implementing recent changes to the Joint Federal Travel Regulations concerning the payment of Mileage Allowance in Lieu of Transportation (MALT) and the extension of time that members are entitled to draw Temporary Living Expenses (TLE) during travel associated with a permanent change of station. The MALT allowance will now reimburse military members for driving two personally-owned vehicles (POVs) per household when executing official transfer orders within the continental United States. Previously only one POV was authorized. The extension of TLE from 4 to 10 days is now authorized for certain Military Housing Areas that are designated as housing shortage areas. These are both new entitlements that were recently approved by the Per Diem Committee and funding for these initiatives has not been provided.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base 1/	0	0	0	0	$0	$60,100	$60,100
FY 1993 Base 1/	0	0	0	0	$0	$63,000	$63,000
FY 1994 Request	0	0	0	0	$0	$1,714	$1,714

1/ Base information consists of estimates of total amounts expended from the AFC-20 account for transfer of personnel and household goods.

II. BUILT-IN CHANGES (Cont)

D. MANDATED INITIATIVES

3. **Mass Transit Benefit Program**............. $1,882,000

This request provides funding to support the provision of a tax excludable mass transit fare benefit to Coast Guard military and civilian employees who wish to participate in the program. It will also provide personnel resources to manage and administer the program. Providing this benefit is an incentive to increase the use of mass transit. The non-taxable maximum fare benefit is currently $60 per participating employee per month. This request assumes steady program growth during the year and requests only three quarters of the projected annual steady-state requirement.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	0	0	0	0	$0	$66	$66
FY 1993 Base 1/	0	0	0	0	$0	$687	$687
FY 1994 Request	0	4	0	2	$114	$1,768	$1,882

1/ Represents funds specifically set aside for this program. Actual expenditures may be greater.

II. BUILT-IN CHANGES (Cont)

E. INTEGRATION WITH DEPARTMENT OF DEFENSE SYSTEMS: [$1,700,000]

1. Defense Data Network (DDN).............. $675,000

The Defense Data Network (DDN) is the Department of Defense (DoD) secure computer communications network. It provides connectivity for multiple classified command, control, and intelligence systems. The Coast Guard participates in the Anti-Drug Network (ADNET), the Joint Maritime Information Element (JMIE), the EMERALD system, and the Narcotics Tactical Reporting System (NTRS) which all require the DDN for information entry and retrieval. This request provides recurring funding to support DDN connectivity at Headquarters, both Areas, most District Operations Centers and Intelligence Offices, and the Greater Antilles Section in San Juan, Puerto Rico. This service had previously been provided to the Coast Guard at no cost by DoD.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1994 Request	0	0	0	0	$0	$675	$675

II. BUILT-IN CHANGES (Cont)

E. INTEGRATION WITH DEPARTMENT OF DEFENSE SYSTEMS:

2. Coast Guard Interface With DoD's Automated HHG System (TOPS)...................... $1,025,000

This request provides funds and personnel resources for the Coast Guard household goods (HHG) transportation program to interface with the Department of Defense's (DoD) new Transportation Operational Personal Program Standard System (TOPS). Funds will be transferred to DoD TOPS Manager who will provide the required equipment to allow DoD TOPS host sites to electronically satellite 19 Coast Guard INCONUS sites and establish 3 primary and 3 satellite OCONUS sites. Personnel resources are required to assist in management at the TOPS Management Office, Ft. Belvoir, Va. and Headquarters, Military Traffic Management Command, Falls Church, Va., and to alleviate the additional workload imposed on the DoD TOPS host sites. The Coast Guard currently relies heavily on DoD for information, assistance, and reduced shipping rates in the movement of our personnel and equipment. Failure to transition to TOPS would prohibit the Coast Guard from taking advantage of DoD assistance, capabilities, and efficiencies. Specifically, the Coast Guard would be required to transition to a higher shipping rate structure which would significantly increase the total costs of the program.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base 1/	57	25	57	25	$3,457	$43,723	$47,180
FY 1993 Base 1/	60	25	60	25	$3,745	$45,122	$48,867
FY 1994 Request	6	0	3	0	$140	$885	$1,025

1/ Base information consists of staffing at existing transportation offices and includes an estimate of funds used to provide actual HHG transportation.

II. BUILT-IN CHANGES (Cont)

F. INTER-AGENCY REIMBURSEMENTS: [$000]

1. National Oceanic & Atmospheric Administration (NOAA) Payroll Processing Reimbursement.................... $000

This request provides for the transfer of one full time position from the Department of Commerce, National Oceanic and Atmospheric Administration (NOAA) to the Department of Transportation (USCG). An inter-agency agreement is currently in place that allows the Coast Guard Pay and Personnel Center (PPC) to maintain the payroll disbursement and accounting function for the uniformed NOAA Officer Corps which numbers approximately 400 personnel. The NOAA Corps' pay scheme follows the military model and consolidation of the pay function at one pay center is more efficient than requiring NOAA to maintain a separate pay system. The pro rata share of support based on proportional size of the number of personnel served requires one full time position. Providing this position to the Coast Guard will allow for the assignment of a permanent staff member to meet the additional workload. NOAA will reimburse the Coast Guard for the salary costs associated with this position.

Base/Request
($000)

	FTP		FTE		Pers. Funds	Operation & Maint. Funds	Total Funds
	Mil	Civ	Mil	Civ			
FY 1992 Base	0	0	0	0	$0	$0	$0
FY 1993 Base	0	0	0	0	$0	$0	$0
FY 1994 Request	1	0	1	0	$0	$0	$0

III. OPERATE NEW FACILITIES........................ $10,596,000

Personnel:	POS	FTE
Military	36	19
Civilian	6	4

A. SHORE FACILITY CONSTRUCTION FOLLOW ON.......... $2,329,000

Operating and Maintenance (O&M) funds are requested to support the following shore construction projects scheduled for completion prior to FY 1995.

MAJOR AC&I LOCATION

	EST. COMP.		($000)
NORPAC LORSTA PH II, REPLACEMENT ST PAUL/ATTU	3/94	ST PAUL/ATTU, AK	398
SUPRTCEN KODIAK, CONSTRUCT FIRE STATION	2/93	KODIAK, AK	173
SUPRTCEN KODIAK, SWIMMING POOL	6/94	KODIAK, AK	134
AVTRACEN MOBILE, UNDERGROUND STORAGE TANKS	1/93	MOBILE, AL	9
SUPRTCEN ALAMEDA, CHILD DEVELOPMENT CENTER	8/94	ALAMEDA, CA	119
ACADEMY, CHILD DEVELOPMENT CENTER	7/93	NEW LONDON, CT	117
STA KEY WEST VESSEL SUPPORT BLDG	4/94	KEY WEST, FL	90
STA SCITUATE WATERFRONT IMPROVEMENT	11/93	SCITUATE, MA	0
CG YARD, UPGRADE MECHANICAL SHOPS	2/94	BALTIMORE, MD	251
CG YARD, CONSTRUCT FLAMMABLE STORAGE BUILDING	5/94	BALTIMORE, MD	30
BASE SW HARBOR CONSOLIDATE FACILITIES	6/94	SW HARBOR, ME	133
GRP FORT MACON STABILIZE BOAT BASIN	8/93	ATL. BEACH, NC	23
GRP SANDY HOOK CONSTRUCT NEW WPB PIER	3/94	HIGHLANDS, NJ	57
SUPRTCEN NEW YORK, REPLACEMENT HEALTH CARE FACILITY	9/94	NEW YORK, NY	-47
AIRFAC NEWPORT CONST NEW AIR FACILITY	10/93	NEWPORT, OR	162
GRP EASTERN SHORE RENOVATE GRP/STA PH II	3/94	CHICOTEAGUE, VA	241
SUPRTCEN PORTSMOUTH, EXPAND SHIP SUP FAC.	11/93	PORTSMOUTH, VA	39
STA BURLINGTON REPLACEMENT	10/93	BURLINGTON, VT	102
SUPRTCEN SEATTLE, PIER 36/37 APRON	10/93	SEATTLE, WA	0
Sub-total			$2,031

(Continued on next page)

III. OPERATE NEW FACILITIES (Cont)

A. SHORE FACILITY CONSTRUCTION (Cont)

MINOR AC&I LOCATION

SUPRTCEN KODIAK, CUTTER STORAGE	1/94	KODIAK, AK	36
AIR STATION KODIAK, AUTO PAVING SECTIONS	4/94	KODIAK, AK	15
GRP MONTEREY, MDZ COMMS UPGRADE	5/93	MONTEREY, CA	8
AIRSTA SAN FRAN, COMMS CENTER UPGRADE	5/94	SAN FRAN., CA	7
GRP HUMBOLDT BAY, COMMS CENTER UPGRADE	5/94	MCKINLEYVILLE, CA	6
SUPRTCEN ALAMEDA, BLDG 21 REHAB	11/93	ALAMEDA, CA	0
TORTUGAS LIGHT STATION, PIER REPLACEMENT EXTENSIONS	12/93	TORTUGAS, FL	12
SAND KEY LIGHT RESTORATION	6/94	KEY WEST, FL	0
BASE HONOLULU, WPB SUPPORT FACILITY	10/93	HONOLULU, HI	40
BASE HONOLULU, FIRE PROTECTION SYSTEM	5/93	HONOLULU, HI	14
GRP SOUTH PORTLAND, AIDS TO NAV FACILITY	1/94	S.PORTLAND, ME	39
STATION PORTSMOUTH HARBOR, FLOATING DOCK	2/93	NEW CASTLE, NH	18
STATION FT TOTTEN, NEW PIER WITH FLOATS	1/94	WILLETS PT, NY	10
GRP ASTORIA, MDZ COMMS UPGRADE	7/93	WARRENTON, OR	8
GRP CORPUS CHRISTI, WPB SUPPORT FAC	4/94	CORPUS CHR, TX	22
RESTRACEN YORKTOWN, UTB SYSTEMS CENTER	6/94	YORKTOWN, VA	47
GRP PORT ANGELES, COMMS UPGRADE	5/93	PT ANGELES, WA	9
SUPRTCEN SEATTLE, NAVAL ENGINEERING SUPPORT UNIT EXPANSION	7/94	SEATTLE, WA	7
GRP PORT ANGELES, WAVE ABATEMENT	5/94	PT ANGELES, WA	0
Sub-total			298
Total			$2,329

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	0	0	0	0	$0	$0	$0
FY 1993 Base	0	0	0	0	$0	$0	$0
FY 1994 Request 1/	0	0	0	0	$0	$2,329	$2,329

1/ The follow-on funding requested represents additional requirements to support new facilities or expansion to existing facilities accomplished through an Aquisition, Construction, and Improvement project to rebuild or renovate existing facilities. Those facilities where reductions are indicated reflect reduced costs associated with construction of smaller or more energy efficient facilities.

III. OPERATE NEW FACILITIES (Cont)

B. MARINE ENVIRONMENTAL PROTECTION FOLLOW-ON:

1. Pollution Response Equipment Follow-On.................................. $802,000

This request provides funding to maintain pollution response equipment purchased in support of OPA 90 requirements. This includes equipment purchased for the National Strike Force, 19 prepositioned response sites, and first response equipment purchased for 68 Coast Guard units located throughout the country. This request provides funding for preventive and major maintenance of this equipment. Recurring annual funding will ensure that equipment is maintained properly and in ready condition for response. Implementing scheduled maintenance will maximize the effective life of the equipment and will reduce more expensive maintenance or replacement costs that will be needed if the equipment falls into a state of disrepair. Funding will also be available to alter or improve equipment as needed.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	0	0	0	0	$0	$0	$0
FY 1993 Base 1/	1	0	1	0	$46	$210	$256
FY 1994 Request 2/	0	1	0	1	$52	$750	$802

1/ Represents the O&M portion of funds first provided by Congress in FY93.

2/ The O&M represents three quarters of the required annual maintenance ($1 million).

III. **OPERATE NEW FACILITIES** (Cont)

C. NAVIGATION SYSTEMS FOLLOW-ON: [$3,468,000]

1. **Vessel Traffic Service (VTS) Follow-On**..............................	$1,618,000

This request would provide additional funding at selected VTSs to support increased watchstanding and training requirements as well as follow-on operations and maintenance funds to support major equipment suite upgrades. Six new personnel would be provided to support geographic expansions: five at VTS Puget Sound to operate a new southern sector and one at VTS Prince William Sound for management of the Automated Dependent Surveillance (ADS) system. Three additional personnel would be provided as dedicated training officers, one each at VTS Puget Sound, San Francisco and Houston-Galveston. The international VTS community has identified VTS operator training as the single most important VTS management issue worldwide. The National Transportation Safety Board has also highlighted the Coast Guard's deficiencies in this respect. Dedicated training personnel would greatly improve watchstander effectiveness at these large VTSs which each have a watchstander complement of greater than twenty.

This request would also establish recurring follow-on O&M funds for upgraded data communications systems at VTS New York ($476,000), Puget Sound ($100,000), and San Francisco ($176,000). Dedicated circuits are needed to provide high speed data communications links between Vessel Traffic Centers and their remote sites to transmit radar video, closed circuit television, voice communications, and control signals. This funding request would provide resources to lease data circuits and contract maintenance support to maintain the integrity of the data transmission equipment, and would provide full time diagnostic testing and systems maintenance for the new and more complex VTS computer networks. Finally, this request would provide additional O&M funding for the VTS Prince William Sound ADS system ($546,000).

(Continued Next Page)

III. OPERATE NEW FACILITIES (Cont)

C. NAVIGATION SYSTEMS FOLLOW-ON:

1. Vessel Traffic Service (VTS) Follow-On (Cont)

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base 1/	48	15	48	15	$2,768	$2,986	$5,754
FY 1993 Base 1/	48	15	48	15	$2,848	$3,409	$6,257
FY 1994 Request	5	5	3	3	$320	$1,298	$1,618

1/ Base personnel figures represent FTP currently assigned to VTS Puget Sound and VTS Prince William Sound. Base O&M represents O&M in operating base for VTS New York, VTS San Francisco, VTS Puget Sound and VTS Prince William Sound.

2. Differential Global Positioning System (DGPS) Follow-on................. $1,850,000

This request provides for the operation and maintenance of the DGPS system being established under an AC&I project begun in FY92 and includes communications costs and maintenance of electronic equipment at reference, monitor, and broadcast sites and control stations. Eight of the requested personnel will be used to staff the first of two control stations, one on each Coast. Nineteen personnel will be used for electronic equipment maintenance and repair for reference, monitor and control sites. These personnel are required in FY94 to allow for necessary training since they will have had no prior experience with DGPS. Final production equipment will be installed in the field beginning in mid-1994. Provided that the operations and maintenance infrastructure is ready, those stations will be operational as each station is brought on-line. Once coverage validation of each station is complete (approximately 2-4 weeks after installation), they can be declared useable for navigation by the public.

(Continued on next page)

III. OPERATE NEW FACILITIES (Cont)

C. NAVIGATION SYSTEMS FOLLOW-ON:

2. Differential Global Positioning System (DGPS) Follow-on (Cont)

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	0	1	0	1	$68	$0	$68
FY 1993 Base	7	2	3	2	$350	$170	$520
FY 1994 Request	31	0	16	0	$850	$1,000	$1,850

D. AIRCRAFT SYSTEMS FOLLOW-ON:

1. Forward Looking Radar (FLAR) Follow-on.................................. $147,000

Follow-on funding is requested to support AN/APS-137 Forward Looking Airborne Radar (FLAR) systems coming-on-line in FY94. The FY94 additions will increase the number of operational FLAR-modified HC-130s from 23 to 26 aircraft. Intermediate and depot level maintenance will be provided by contract with Texas Instruments Corporation and through an Interservice Support Agreement with the U.S. Navy. FLAR gives Coast Guard HC-130s an all-weather, day or night, radar surface search and target classification capability, very critical in the conduct of several Coast Guard missions, including Search and Rescue, Marine Environmental Protection and Law Enforcement.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base 1/	0	0	0	0	$0	$0	$0
FY 1993 Base	0	0	0	0	$0	$3,116	$3,116
FY 1994 Request	0	0	0	0	$0	$147	$147

1/ The FY 1992 base for this radar system was zero. The FLAR is a new system added to HC-130 aircraft and does not replace existing equipment. O&M funds were first appropriated in FY 1993.

III. OPERATE NEW FACILITIES (Cont)

E. COMMUNCATION SYSTEMS FOLLOW-ON: [$3,850,000]

1. Information Resources Management (IRM) Follow-on............................... $3,550,000

This consolidated request provides follow-on funds to operate and maintain major information systems that are being fielded in FY 1993 and FY 1994. Resources are required to provide for increased data communications costs, hardware maintenance, and contract costs for software upgrades and maintenance. The systems that will be supported by this request include the final phase of the Law Enforcement Information System II (LEIS II), Strategic Information Resources Management Plan (SIRMP) development and revision for District and Maintenance and Logistics Commands (MLC), System to Automate and Integrate Logistics (SAIL), Defense Logistics Modernization, Operations Information System (OIS), National Pollution Funds Center (NPFC) information systems, National Response Center (NRC) Automation Enhancement Project (AEP) and independent IRM program requirement and compliance reviews of major projects such as Marine Information for Safety and Law Enforcement (MISLE). The request complements AC&I projects for LEIS II, SAIL, Defense Logistics Modernization and MISLE. The follow-on cost and schedule are as follows:

System	FY 1993 Base ($000)	O&M ($000)	Operational Date
LEIS II phase II	$2,241	$302	OCT 93
SIRMP Districts/MLC	862	540	OCT 93
SAIL	166	489	FY95*
Defense Logistics	135	634	SEP 93
OIS	0	215	JAN 94
NPFC	250	330	SEP 93
NRC AEP	129	500	SEP 93
PROGRAM REVIEWS	0	540	SEP 93
TOTAL	$3,783	$3,550	

* FY 1994 funds would support SAIL modules operational in FY 1994.

(Continued on next page)

III. OPERATE NEW FACILITIES (Cont)

E. COMMUNCATION SYSTEMS FOLLOW-ON:

1. Information Resources Management (IRM) Follow-on (Cont)

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base 1/	8	6	8	6	$776	$2,409	$3,185
FY 1993 Base 1/	13	6	11	6	$992	$3,783	$4,775
FY 1994 Request	0	0	0	0	$0	$3,550	$3,550

1/ Base reflects personnel managing information resources at Headquarters and the National Pollution Funds Center. O&M base information is for those systems for which O&M follow-on is requested in FY94.

2. Commercial Satellite Communications on Coast Guard Cutters................ $300,000

This request provides for recurring funding for commercial satellite communications tariff and maintenance support for equipment purchased and installed on Coast Guard cutters during FY 1993 and FY 1994. Commercial satellite systems will be used for command and control communications and interoperability with commercial vessels complying with Global Maritime Distress and Safety System (GMDSS) requirements. Implementation of GMDSS began in February 1992 and will be phased in according to the 1988 Amendments to the Safety of Life at Sea (SOLAS). Commercial satellite communications equipment will enable Coast Guard cutters, especially those smaller cutters without radiomen aboard, to maintain reliable long range communications with shore facilities.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	0	0	0	0	$0	$0	$0
FY 1993 Base 1/	0	0	0	0	$0	$500	$500
FY 1994 Request	0	0	0	0	$0	$300	$300

1/ O&M funds first enacted in FY93 appropriations.

IV. IMPROVE MISSION EFFECTIVENESS................. $7,436,000

Personnel:	POS	FTE
Military	103	53
Civilian	37	19

A. PERSONNEL SUPPORT:

1. Work-Life Initiatives.................... $3,096,000

Coast Guard work-life programs are a strategic investment in maintaining a quality workforce and remaining a competitive employer. Collectively these initiatives provide both a near term and a long term human resource posture that will ensure that the Coast Guard possesses a highly motivated, productive, diverse, workforce. This request provides the resources needed to finish implementing specific recommendations of the Coast Guard Work-Life Study. Both this study and the April 92 GAO report (GAO/GGD-92-84) on Work-Family Programs and Approaches conclude that work-life issues are critical to successful individual and organizational achievement. The GAO report states: "If the Federal government wants to fully respond to the demographic changes it has experienced, take advantage of potential cost savings and effectively compete for quality employees, it must offer competitive work/family programs and effectively implement and market those programs." The Coast Guard's work-life effort started in FY 1992 with the creation of 21 regional staffs designed to administer work-life programs, provide work-life information and service referral, and help people and commands resolve work-life conflicts. The service areas targeted for improvement during FY 1994 include: (1) Relocation and housing assistance - establish a relocation assistance program including access to a nationwide system of relocation assistance information to aid transferring members; (2) Dependent care - conduct regional needs assessments to determine where adequate dependent care is not available and revalidate the need for existing services; (3) Health care and wellness - continue to close a major information gap on available services and reduce costs through preventive wellness/fitness programs; (4) Family violence and life trauma programs (suicide, sexual assault, abuse, etc.) - Create a senior, experienced uniformed Social worker (PHS) billet to supervise the Family Advocacy, Drug, and Alcohol, and Decedent Affairs Programs, and provide coordination with health services; (5) Employee assistance programs - expand employee assistance programs to include legal assistance referral; expand employee training programs to improve

(Continued Next Page)

IV. IMPROVE MISSION EFFECTIVENESS (Cont)

A. PERSONNEL SUPPORT:

1. Work-Life Initiatives (Cont)

opportunities for training, especially in the field; and provide a retirement, separation, and transition benefits counselling program to help Coast Guard civilian and military personnel cope with the stress of modern living.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base 1/	122	54	122	54	$8,434	$899	$9,333
FY 1993 Base 1/	145	60	145	60	$10,881	$4,120	$15,001
FY 1994 Request	8	22	4	11	$802	$2,294	$3,096

1/ Consists of field work-life staffs and work-life study implementation team. O&M funds include support for family programs, dependent care, implementation team, and start up costs such as publication of brochures and handbooks.

B. MARINE SAFETY: [$833,000]

1. Licensing Operators of Federally Documented Uninspected Fishing Vessels.. $187,000

This provides funding and personnel to commence the implementation of a licensing plan to license operators of federally documented uninspected fishing vessels. The U.S. has a substantial interest in licensing operators of documented uninspected commercial fishing industry vessels of less than 200 gross tons, based on their poor safety record. The Commercial Fishing Industry Vessel Safety Act of 1988 (P.L. 100-424), enacted in September 1988, required the Coast Guard to submit a plan to Congress to license these operators. The preferred alternative addressed in the plan outlines Coast Guard acceptance of certificates of completion from approved commercial and industry training courses as meeting one of the eligibility requirements for

(Continued Next Page)

IV. IMPROVE MISSION EFFECTIVENESS (Cont)

B. MARINE SAFETY:

1. Licensing Operators of Federally Documented Uninspected Fishing Vessels (Cont)

a license. Three Headquarters staff personnel are needed to prepare for the implementation of this program by establishing acceptable training criteria and by identifying and certifying eligible commercial and industry education courses.

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	0	0	0	0	$0	$0	$0
FY 1993 Base	0	0	0	0	$0	$0	$0
FY 1994 Request	0	3	0	2	$131	$56	$187

2. Passenger Vessel Safety Program.............................. $646,000

This request provides funding and personnel to conduct in-depth plan review and examination of foreign flag passenger vessels operating out of U.S. ports. As a result of several recent casualties, the U.S. and the International Maritime Organization (IMO) have developed several Safety Of Life At Sea amendments to improve the fire safety standards on existing passenger ships. The first set of amendments should come into force in 1994, with remaining amendments going into force in 1996, 2000, and 2010. These resources will provide the necessary review to ensure compliance with the new standards and increase the level of safety accorded U.S. passengers aboard foreign flag vessels.

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IV. IMPROVE MISSION EFFECTIVENESS (Cont)

B. MARINE SAFETY:

2. Passenger Vessel Safety Program (Cont)

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base 1/	8	2	8	2	$602	$74	$676
FY 1993 Base 1/	8	2	8	2	$619	$76	$695
FY 1994 Request	5	6	3	3	$462	$184	$646

1/ Base consists of personnel dedicated to plan review and augmentation of on-site inspections.

C. MARINE ENVIRONMENTAL PROTECTION: [$1,133,000]

1. Spill Response Exercise Support Standardization Team $969,000

This request would provide funding and personnel to implement and standardize training required by the Oil Pollution Act of 1990 (OPA 90). The purpose of this standardization team would be to provide Coast Guard On Scene Coordinators (OSCs) experience in coordinating the activities of multiple levels of government and the private sector. Three types of training activities have been identified as essential training elements for Coast Guard OSCs. These include enhanced On Scene Coordinator/Regional Response Team table top exercises, "mini" field exercises (local and regional in scope), and one major field exercise per year (national in scope). The proposed training will provide senior managers (OSCs) one opportunity every 4 years to participate in a table top exercise (OSC/RRT) and a field exercise. The focus of these exercises will be to exercise/test the contingency plans, stress the National Response System outlined in 40 CFR 300 and the National Contingency Plan, and to standardize response procedures.

(Continued Next Page)

IV. IMPROVE MISSION EFFECTIVENESS (Cont)

C. MARINE ENVIRONMENTAL PROTECTION:

1. Spill Response Exercise Support Standardization Team (Cont)

Base/Request
($000)

	FTP Mil	FTP Civ	FTE Mil	FTE Civ	Pers. Funds	Operation & Maint. Funds	Total Funds
FY 1992 Base	5	0	5	0	$226	$30	$256
FY 1993 Base	5	0	5	0	$233	$31	$264
FY 1994 Request 1/	19	6	10	3	$969	$0	$969

1/ O&M funds for this item will be derived from OPA 90 funds already provided to the CG which are expected to become available in FY 1994, upon completion of required non-recurring OPA studies and projects. O&M is needed to conduct the exercises and provide liaison activities between Coast Guard District Response personnel and State pollution response representatives.

2. National Response Center (NRC) Support Resources........................ $164,000

The National Contingency Plan requires a continuously staffed Response Center to serve as the sole point of contact for reporting all unauthorized or accidental discharges of chemical, oil, radiological, biological, or etiological substances in the United States and its territories. The NRC forwards all discharge reports to pre-designated Federal On-Scene Coordinators who initiate response action. The NRC also serves as the coordination point for the 15 federal agencies that make up the National Response Team. In 1987, the NRC received 15,000 incident reports. In 1991, they received over 26,300 reports. OPA 90 and EPA Hazardous Material regulations have significantly increased reporting requirements in recent years and pending legislation, including the Toxic Substances Control Act, will add yet more workload for the NRC. All feasible technical solutions have been implemented, including redesigning the operations center for maximum functionality and investing over $4M in a five year Automation Enhancement Project (AEP). However, each

(Continued Next Page)

IV. IMPROVE MISSION EFFECTIVENESS (Cont)

C. MARINE ENVIRONMENTAL PROTECTION:

2. National Response Center (NRC) Support Resources.

incoming phone call requires watchstander involvement for proper routing and action, and during peak periods of activity, as many as 20 percent of the incoming phone calls do not reach an NRC duty officer. Additional watchstanders are needed to provide immediate response and timely notification to Federal On Scene Coordinators regarding incident reports. This request provides for additional personnel and funding to meet the 75 percent workload increase of the National Response Center (NRC) since 1987.

Base/Request
($000)

	FTP		FTE		Pers. Funds	Operation & Maint. Funds	Total Funds
	Mil	Civ	Mil	Civ			
FY 1992 Base 1/ 9	22	1	22	1	$1,030	$539	$1,569
FY 1993 Base 1/	22	1	22	1	$1,060	$572	$1,632
FY 1994 Request	7	0	4	0	$164	$0	$164

1/ USCG funds 5 military billets and provides $312K in O&M. EPA (CERCLA) and DOT (RSPA) fund 14 military billets, 1 civilian position and provide $260K in O&M.

D. IMPROVE LIVING MARINE RESOURCE ENFORCEMENT:.......$2,374,000

This request is for personnel to support the Coast Guard's role as the lead agency for at-sea enforcement of laws and regulations protecting living marine resources. Since 1980, the number of fisheries and other living resources managed under the Magnuson Fishery Conservation and Management Act, the Marine Mammal Protection Act, the Endangered Species Act, and international agreements has more than doubled. This growth has been accompanied by an increased diversity of fisheries participants. Foreign efforts have been displaced by what is now a domestic over-harvesting capability within the Exclusive Economic Zone. U.S. concerns have expanded beyond the zone into international waters where foreign activities can affect zone stocks. The growth has also been accompanied by increased enforcement complexity resulting from regulatory measures which attempt to integrate fisheries,

(Continued Next Page)

D. IMPROVE LIVING MARINE RESOURCE ENFORCEMENT (Cont)

environmental, and endangered species concerns. Further, growth in the size of the area which must be patrolled has resulted in a corresponding increase in the number of at-sea ship-days and aircraft surveillance hours.

The requested staffing increase would focus on: improved liaison with Fisheries Management Councils; review of proposed management and conservation measures; the efficient execution of international fisheries agreements; coordination/utilization of operational resources; planning and determination of future resource needs; and closer contact with living marine resource users, including the fishing industry, other agencies, Congress, and the general public. These personnel would be placed on Area and District staffs.

In addition, this request seeks personnel and operation and maintenance funds to provide additional regionally-based training to effectively meet growing living marine resource enforcement needs. Changing fisheries and federal living marine resource management and conservation measures are placing increasing demands on the Coast Guard. Living marine resource regulations are geographically unique, complex, and regionalized, creating the need for training tailored for operations in specific areas. The Coast Guard is the lead federal maritime law enforcement agency and enhanced fisheries training is a key component of the Coast Guard's fisheries law enforcement strategy. This request will allow regionalized training programs to be put in place, critical to effective enforcement of complex living marine resource laws, regulations, and international agreements.

Base/Request
($000)

	FTP		FTE		Pers.	Operation &	Total
	Mil	Civ	Mil	Civ	Funds	Maint. Funds	Funds
FY 1992 Base	24	0	24	0	$1,520	$30	$1,550
FY 1993 Base	30	0	27	0	$1,824	$31	$1,855
FY 1994 Request	64	0	32	0	$1,874	$500	$2,374

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

For necessary expenses of acquisition, construction, rebuilding, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto, [$340,000,000] *$379,000,000, to remain available until September 30, 1998*, of which [$35,640,000] *$20,000,000* shall be derived from the Oil Spill Liability Trust Fund[; of which $92,450,000 shall be available to acquire, repair, renovate or improve vessels, small boats and related equipment, to remain available until September 30, 1997; $31,300,000 shall be available to acquire new aircraft and increase aviation capability, to remain available until September 30, 1995; $56,565,000 shall be available for other equipment, to remain available until September 30, 1995; $123,685,000 shall be available for shore facilities and aids to navigation facilities, to remain available until September 30, 1995; and $36,000,000 shall be available for personnel compensation and benefits and related costs, to remain available until September 30, 1993]. *(Department of Transportation and Related Agencies Appropriations Act, 1993.)*

INVESTMENT

In addition to amounts otherwise available under this head, and subject to the same terms and conditions, $35,000,000 to remain available until September 30, 1998.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

Program and Financing (in thousands of dollars)

Identification code: *69-0240-0-1-999*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Program by activities:			
	Direct Program:			
00.01	Search and rescue	44,770	55,654	68,804
00.02	Aids to navigation	61,972	88,959	69,271
00.03	Marine safety	38,352	56,610	59,809
00.04	Marine environmental protection	33,822	35,640	22,349
00.05	Enforcement of laws and treaties	98,619	139,148	164,079
00.06	Ice operations	11,812	20,262	27,347
00.07	Defense readiness	5,905	8,087	9,116
00.91	Total direct program	295,252	404,360	420,775
01.01	Reimbursable program	12,863	30,000	30,000
10.00	Total obligations	308,115	434,360	450,775
	Financing:			
21.40	Unobligated balance available, start of year	−191,740	−296,562	−232,202
24.40	Unobligated balance available, end of year	296,562	232,202	190,427
25.00	Unobligated balance expiring	1,426	....	....
39.00	Budget authority (gross)	414,363	370,000	409,000

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION AND IMPROVEMENTS

Program and Financing (in thousands of dollars) p.2

Identification code: *69-0240-0-1-999*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Budget Authority:			
Current:			
40.00 Appropriation (definite)	367,678	304,360	359,000
Permanent:			
68.00 Spending authority from offsetting collections (adjusted)	46,685	65,640	50,000
Relation of obligations to outlays:			
71.00 Total obligations	308,115	434,360	450,775
72.40 Obligated balance, start of year	542,138	458,969	423,652
74.40 Obligated balance, end of year	–458,969	–423,652	–443,568
77.00 Adjustments in expired accounts	17	......	......
87.00 Outlays (gross)	391,301	469,677	430,859
Adjustments to budget authority and outlays:			
Deductions for offsetting collections:			
88.00 Federal funds (DoD)	–12,863	–30,000	–30,000
88.30 Trust funds (Oil spill liability trust fund)	–33,822	–35,640	–20,000
88.90 Total, offsetting collections	–46,685	–65,640	–50,000
89.00 Budget authority (net)	367,678	304,360	359,000
90.00 Outlays (net)	344,616	404,037	380,859

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS INVESTMENT

Program and Financing (in thousands of dollars)

Identification code: *69–0240–0–7–999*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
	Direct Program:			
00.01	Search and rescue	...	...	...
00.02	Aids to navigation	...	...	29,450
00.03	Marine safety	...	...	3,200
00.04	Marine environmental protection	...	...	2,350
00.05	Enforcement of laws and treaties	...	...	...
00.06	Ice operations	...	...	...
00.07	Defense readiness	...	...	...
00.91	Total direct program	...	...	35,000
01.01	Reimbursable program	...	...	...
10.00	Total obligations (object class 31)	...	...	35,000
	Financing:			
21.40	Unobligated balance available, start of year	...	...	...
24.40	Unobligated balance available, end of year	...	...	...
25.00	Unobligated balance expiring	...	...	...
39.00	Budget authority (gross)	...	...	35,000

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION AND IMPROVEMENTS
INVESTMENT

Program and Financing (in thousands of dollars) p.2

Identification code: *69-0240-0-7-999*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Budget Authority:			
Current:			
40.00 Appropriation (indefinite)	...	...	35,000
Permanent:			
68.00 Spending authority from offsetting collections (adjusted)	...	...	...
Relation of obligations to outlays:			
71.00 Total obligations	...	...	35,000
72.40 Obligated balance, start of year	...	...	...
74.40 Obligated balance, end of year	...	...	-29,050
77.00 Adjustments in expired accounts	...	...	...
87.00 Outlays (gross)	...	...	5,950
Adjustments to budget authority and outlays:			
Deductions for offsetting collections:			
88.00 Federal funds (DoD)	...	...	...
88.30 Trust funds (Oil spill liability trust fund)	...	...	...
88.90 Total, offsetting collections	...	...	...
89.00 Budget authority (net)	...	...	35,000
90.00 Outlays (net)	...	...	5,950

COAST GUARD -- Acquisition, Construction, and Improvements

PROGRAM AND PERFORMANCE

The Acquisition, Construction, and Improvements (AC&I) appropriation provides for the major acquisition, construction, and improvement of vessels, aircraft, information management resources, shore units, and aids-to-navigation.

Vessels: During FY 1994, efforts to acquire replacements for Seagoing and Coastal Buoy Tenders, Buoy Boats, and Motor Lifeboats will continue. Major accomplishments will also be realized in the area of vessel renovation and modernization.

Aircraft: Delivery of spares and training support for 32 HH-60J helicopters funded in prior years will continue, along with the acquisition of the final three replacement HH-60J helicopters for drug interdiction operations in the Caribbean.

Other Equipment: In 1994, new management information system replacements and upgrades will continue. Vessel Traffic Services (VTS) improvements and upgrades will be completed within Prince William Sound, Alaska; New York, New York; Puget Sound, Washington; and San Francisco, California. New Vessel Traffic Services projects will be initiated in Los Angeles/Long Beach, California; and Port Arthur, Texas and will continue in New Orleans, Louisiana.

Shore Facilities: In 1994, shore facility projects will be balanced among new construction, renovations, improvements, and replacement of existing facilities, along with an emphasis on adequate, affordable housing.

INVESTMENT INITIATIVES

These funds will support two important acquisitions aimed at improving maritime safety and environmental protection: state-of-the-art Vessel Traffic Systems (VTS) to reduce accidents and the threat of oil and hazardous material spills, and replacement of seagoing and coastal buoy tenders, with vessels equipped with modern oil spill recovery equipment.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION AND IMPROVEMENTS
Object Classification (in thousands of dollars)

Identification code: *69–0240–0–1–999*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full–time permanent	9,882	13,798	13,019
11.3	Other than full–time permanent	51	71	323
11.5	Other personnel compensation	172	238	231
11.7	Military personnel	14,403	15,301	16,276
11.9	Total personnel compensation	24,508	29,408	29,848
12.1	Civilian personnel benefits	1,902	2,597	2,555
12.2	Military personnel benefits	1,252	1,457	1,549
21.0	Travel and transportation of persons	5,123	2,831	3,190
22.0	Transportation of things	636	1,213	1,368
23.3	Communications, utilities, and miscellaneous charges	860	1,178	1,368
24.0	Printing and reproduction	474	809	911
25.1	Consulting Services	...	1,660	1,660
25.2	Other services	18,436	45,914	50,753
26.0	Supplies and materials	95,055	44,216	58,224
31.0	Equipment	59,308	207,167	181,952
32.0	Lands and structures	87,698	65,910	87,397
99.0	Subtotal, direct obligations	295,252	404,360	420,775
99.0	Reimbursable obligations	12,863	30,000	30,000
99.9	Total obligations	308,115	434,360	450,775

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Personnel Summary

Identification code: *69-0240-0-1-999*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Direct:			
Military: Total compensable workyears:			
Full-time equivalent employment..................	331	327	359
Civilian: Total compensable workyears:			
Full-time equivalent employment..................	267	279	279
Full-time equivalent of overtime and holiday hours..	2	2	2

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
ACQUISITION, CONSTRUCTION, & IMPROVEMENTS
Budget Authority (dollars in thousands)

	1992 Actual		*1993 Estimate*		*1994 Estimate*	
Program by activities:	*Full-time perm.pos.*	*Appro-priation*	*Full-time perm.pos.*	*Appro-priation*	*Full-time perm.pos.*	*Appro-priation*
1. Search and rescue....................		47,152		35,862		33,572
2. Aids to navigation....................		93,398		73,678		101,664
3. Marine safety..........................		19,482		25,637		34,933
4. Marine environmental protection		34,762		35,681		29,324
5. Enforcement of laws and treaties...		173,019		136,742		182,104
6. Ice Operations..........................		17,892		19,322		23,795
7. Defense readiness....................		15,795		13,078		8,608
Total appropriation or estimate.......	650	401,500	650	340,000	714	414,000
(Military)....................	351		347		411	
(Civilian)....................	299		303		303	

***Notes:** Amounts shown represent a programmatic distribution of funds appropriated for each year. Therefore, they may not correspond to the amounts on lines 00.01–00.07 of the Program and Financing schedule, which consist of direct obligations of both prior year and current year appropriated funds. The following numbers reflect dollars in thousands: This table includes $33,822 in 1992, $35,640 in 1993 and $25,000 in 1994 from the Oil Spill Liability Trust Fund (Trust Fund Share of Expenses). Also included is $35,000 in 1994 which is part of the President's investment initiatives.*

U. S. COAST GUARD
JUSTIFICATION
FY 1994 CONGRESSIONAL-STAGE
Acquisition, Construction, and Improvements: 69-0240-0-1-999
(Dollars in thousands)

	PAGE NUMBER	PRESIDENT'S REQUEST ($000)
I. VESSELS:		
A. ACQUIRE VESSELS AND EQUIPMENT:		
1. SURVEY AND DESIGN - CUTTERS AND BOATS.............	75	500
2. SEAGOING BUOY TENDER (WLB).........................	76-77	45,000
3. COASTAL BUOY TENDER (WLM)..........................	78-79	1,700
4. 47-FOOT MOTOR LIFEBOAT (MLB).......................	80-81	1,000
5. BUOY BOAT (BUSL) REPLACEMENT.......................	82	1,500
6. POLAR ICEBREAKER FOLLOW-ON.........................	83	3,700
7. CONFIGURATION MANAGEMENT (CM)......................	84-85	3,400
8. SHIPBOARD COMMAND AND CONTROL SYSTEM (SCCS)........	86	3,600
9. SURFACE SEARCH RADARS..............................	87	5,600
10. FT4A GAS TURBINE LOGISTICS SUPPORT................	88	3,000
11. POLAR CLASS REPLACEMENT MAIN PROPULSION MONITORING AND CONTROL SYSTEM (MCAM).............	89	3,000
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:		
1. 210-FOOT COAST GUARD MEDIUM ENDURANCE CUTTERS (WMEC) MAJOR MAINTENANCE AVAILABILITY (MMA).	90-91	43,200
SUBTOTAL-VESSELS.............		115,200
II. AIRCRAFT:		
ACQUIRE NEW AIRCRAFT AND INCREASE AVIATION CAPABILITY:		
1. OPERATION BAHAMAS TURKS AND CAICOS (OPBAT) - HELICOPTER - PHASE IV..........................	92	55,200
2. TRAFFIC ALERT AND COLLISION AVOIDANCE SYSTEM (TCAS)-PHASE II.................................	93	4,200
3. GLOBAL POSITIONING SYSTEM INSTALLATION - PHASE IV..	94-95	1,800
4. AIRCRAFT COCKPIT VOICE/FLIGHT DATA RECORDERS - PHASE IV.......................................	96	1,500
5. HH-65 HELICOPTER/HU-25 FIXED WING-SIMULATOR UPGRADE	97	1,300
6. AUSTERE LOGISTICS AIRCRAFT PURCHASE................	98	3,400
7. HH-65 HELICOPTER - TRANSMISSION GEARBOX UPGRADE....	99	4,500
SUBTOTAL-AIRCRAFT............		71,900

U. S. COAST GUARD
JUSTIFICATION
FY 1994 CONGRESSIONAL STAGE
Acquisition, Construction, and Improvements: 69-0240-0-1-999
(Dollars in thousands)

		PAGE NUMBER	PRESIDENT'S REQUEST ($000)
III.	OTHER EQUIPMENT:		
1.	SYSTEMS TO AUTOMATE & INTEGRATE LOGISTICS (SAIL)..	100-101	6,600
2.	DEFENSE LOGISTICS (DL) MODERNIZATION..............	102	3,900
3	DIFFERENTIAL GLOBAL POSITIONING SYSTEM (DGPS).....	103	6,600
4.	BUOY REPLENISHMENT PROJECT........................	104	1,000
5.	COMMUNICATION STATIONS (COMMSTAs) AUTOMATION - PHASE III..........................	105-106	2,000
6.	RESOURCE INFORMATION SYSTEM (KRIS) FOR HEALTH SERVICES PROGRAM................................	107	3,200
7.	PERSONNEL MANAGEMENT INFORMATION SYSTEM/JOINT UNIFORM MILITARY PAY SYSTEM II-PHASE III........	108	1,200
8.	VESSEL TRAFFIC SERVICES (VTS) 2000................	109-110	27,600
9.	VESSEL TRAFFIC SERVICES (VTS) UPGRADE AND EXPANSION PROJECT...............................	111	4,400
10.	MARINE INFORMATION FOR SAFETY AND LAW ENFORCEMENT (MISLE).............................	112-113	5,300
11.	CONVERSION OF APPLICATIONS SOFTWARE - PHASE I.....	114	2,000
12.	VESSEL TRAFFIC SERVICES EQUIPMENT REPLACEMENT PROJECTS..	115	3,000
13.	MINOR AC&I AUTOMATED INFORMATION SYSTEM PROJECTS..	116	1,900
	SUBTOTAL-OTHER EQUIPMENT.....		68,700

U. S. COAST GUARD
JUSTIFICATION
FY 1994 CONGRESSIONAL STAGE
Acquisition, Construction, and Improvements: 69-0240-0-1-999
(Dollars in thousands)

	PAGE NUMBER	PRESIDENT'S REQUEST ($000)
IV. SHORE FACILITIES AND AIDS TO NAVIGATION:		
A. SHORE - GENERAL:		
1. SURVEY AND DESIGN OF VARIOUS SHORE PROJECTS...	117	13,000
2. MINOR AC&I SHORE CONSTRUCTION PROJECTS........	118	8,000
B. SHORE - AIR STATIONS:		
1. AQUADILLA, PR - AIR STATION BORINQUEN DRIVE-THROUGH RINSE RACK/FUEL FARM................	119	6,300
2. AIR STATION MIAMI, FL UPGRADE - PH II.........	120	8,200
3. AIR STATION SITKA, AK - AIDS TO NAVIGATION SUPPORT BUILDING...........................	121	3,000
C. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:		
1. SUPPORT CENTER SAN PEDRO, CA - MEDICAL/DENTAL BUILDING.............................	122	4,500
2. COAST GUARD YARD CURTIS BAY, MD - SHIP HANDLING FACILITY - PHASE I.................	123	5,000
3. SUPPORT CENTER KODIAK, AK - COMMUNITY CENTER..	124	1,500
4. SUPPORT CENTER KODIAK, AK - COLD STORAGE FACILITY..................................	125	4,600
5. SUPPORT CENTER SEATTLE, WA - RECONSTRUCT PIER 37....................................	126	10,000
6. SUPPORT CENTER ELIZABETH CITY, NC - REALIGN PERIMETER ROAD......................	127	2,800
D. SHORE - PERSONNEL SUPPORT FACILITIES:		
1. PUBLIC FAMILY QUARTERS.......................	128-129	22,000

U. S. COAST GUARD
JUSTIFICATION
FY 1994 CONGRESSIONAL STAGE
Acquisition, Construction, and Improvements: 69-0240-0-1-999
(Dollars in thousands)

	PAGE NUMBER	PRESIDENT'S REQUEST ($000)
IV. SHORE FACILITIES AND AIDS TO NAVIGATION (CONT.):		
E. SHORE - GROUPS/BASES/STATIONS/MSOS:		
1. GROUP NORTH BEND, OR - MEDICAL/DENTAL BUILDING.	130	2,900
2. COMMUNICATIONS AREA MASTER STATION ATLANTIC - PORTSMOUTH, VA - EXPAND TRANSMITTER BUILDING.	131	4,400
3. GROUP PORT ANGELES, WA - MEDICAL/DENTAL BUILDING....................................	132	3,300
4. STATION PROVINCETOWN, MA - REPLACE WAVE BARRIER	133	1,300
5. NATCHEZ, MS - REPLACE MOORING FACILITY.........	134	3,100
F. TRAINING CENTERS:		
1. TRAINING CENTER CAPE MAY, NJ - ENLARGE CHILD DEVELOPMENT CENTER...........................	135	2,000
3. TRAINING CENTER CAPE MAY, NJ - MODIFY RECRUIT BARRACKS - PHASE II.........................	136	3,900
4. TRAINING CENTER CAPE MAY, NJ - RENOVATE ENLISTED UNACCOMPANIED PERSONNEL HOUSING.....	137	3,900
G. AIDS TO NAVIGATION FACILITIES:		
1. WATERWAYS SHORT RANGE AIDS PROJECTS...........	138	4,000
2. OVERSEAS LORAN CLOSURE........................	139	1,500
SUBTOTAL-SHORE FACILITIES AND AIDS TO NAVIGATION FACILITIES		119,200
V. PERSONNEL AND RELATED SUPPORT:		
1. PERSONNEL AND RELATED COSTS	140	39,000

U. S. COAST GUARD
JUSTIFICATION
FY 1994 CONGRESSIONAL STAGE
Acquisition, Construction, and Improvements: 69-0240-0-1-999
(Dollars in thousands)

SUMMARY AC&I:

	PAGE NUMBER	PRESIDENT'S REQUEST ($000)
I. SUBTOTAL - VESSELS		115,200
II. SUBTOTAL - AIRCRAFT		71,900
III. SUBTOTAL - OTHER EQUIPMENT		68,700
IV. SUBTOTAL - SHORE FACILITIES AND AIDS TO NAVIGATION		119,200
V. SUBTOTAL - PERSONNEL AND RELATED COSTS		39,000
TOTAL, FY 1994 AC&I REQUEST		414,000

OTE: Estimated future costs and planned operational staffing figures shown on the following sheets are Coast Guard planning figures and do not necessarily reflect approved budget estimates.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SURVEY AND DESIGN – CUTTERS AND BOATS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED 500,000

Reason for Request: To accomplish engineering studies, model tests, trade–off studies, feasibility studies, preliminary designs, specifications for vessel construction, renovation, and maintenance, and analyses for improved/advanced design methods in advance of dedicated project funding, sustaining and advancing capabilities in icebreaker technology, boat and cutter design, and vessel renovations.

Description of Problem or Need: S&D funds are required for renovation, new design, new construction, advanced designs, and maintenance projects utilizing outside sources of expertise, such as the David Taylor Research Center, U.S. Naval Academy, and other contractors. FY94 efforts include initial survey and design for future Coast Guard High Endurance Cutters (WHEC)/Coast Guard Medium Endurance Cutters (WMEC) and inland buoy tender acquisitions. Additional design efforts will involve studies, testing, design method developments, full scale instrumentation projects, and upgrades for computer hardware/software. Related projects include in–service cutter major maintenance and alteration design review, development of new cutter designs, and specification and Circular Of Requirements development. Projected workloads involve in–house technical expertise complemented by outside contractor support to meet new task demands and to reduce the existing project support backlog. Feasibility studies, trade–off studies, preliminary designs and point designs will be initiated to define the requirements for various cutter and boat replacements. S&D projects to improve seakeeping and stability will continue. Advances in vessel design, construction, operations, and maintenance will be continually monitored. Research into new icebreaker hull/bow forms will continue.

Description of Solution: Funds to conduct contractor supported engineering and design studies, model tests, specification preparation for boat and cutter acquisition, maintenance, and renovations.

Benefits: Survey and design work completed in time to execute acquisition, alterations, or repairs.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NO CHANGE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
S&D Projects	1989	900
S&D Projects	1990	678
S&D Projects	1991	1,000
S&D Projects	1992	1,100
S&D Projects	1993	1,200

SUMMARY ($000K)

AMOUNT OF THIS REQUEST	500
ETIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	5,100
ETIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000K)
1. Selected Survey & Design	----	----	500

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SEAGOING BUOY TENDER (WLB)		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED 45,000,000

Reason for Request: To continue replacing the capabilities of the Seagoing Buoy Tender Fleet (WLB) by exercising the options for up to two additional WLB replacement vessels in FY94.

Description of Problem or Need: WLBs service coastal and offshore portions of short range aids to navigation (SRA) system where smaller units cannot work. Having undergone at least one major renovation or service life extension, the WLBs will all be over 50 years old in FY 94. Additional extensions are no longer economical. WLBs are experiencing increased maintenance, support, structural, and mechanical problems.

Description of Solution: Three contractors were selected in FY91 to develop WLB contract designs based on performance specifications. Marinette Marine Corp. of Marinette, WI was selected to complete the detailed design and construct a lead ship. Contract options will allow the Coast Guard to procure up to four additional WLB replacements prior to FY97. Following a full and open competition, award of the full production contract is anticipated in FY97 for the remaining vessels.

Benefits: The capability to maintain SRA in an exposed offshore environment will be retained. Statutory responsibility for maintaining an accurate and reliable SRA system will be met. Operating costs should be reduced with the use of current technology providing higher capability as well as improved reliability and maintainability. The new WLB will have improved speed, maneuverability, habitability, seakeeping, and a smaller crew than the current WLB. It will also have an oil recovery capability. A fleet of geographically dispersed vessels able to recover oil will be available to respond quickly to significant oil spills. Based on the increased capabilities of the new WLB and the results of the service force mix decision support system, the current fleet of 26 WLB's is planned to be replaced with 16 new WLBs.

Project Accomplishments:

a. JUL 88: Acquisition Paper approved as combined WLB/WLM project.
b. MAY 90: Demonstration and Validation phase approved.
c. OCT 90: WLB replacement established as a separate project.
d. MAY 91: Awarded three design contracts.
e. AUG 92: Full Scale Development approved.
f. JAN 93: Awarded contract for leadship construction to Marinette Marine Inc. of Marinette, WI with options for up to four additional ships.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT WLB CREW SIZE	4	2	44	---	50
PLANNED WLB REPLACEMENT CREW SIZE	4	2	34	---	*40

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WLB/WLM Replacement Project (Feasibility Studies Concept Design)	1989	**3,200
WLB Replacement Project (Contract Design Development)	1990	***3,190
WLB Replacement Project (Contract Design and Proposal Evaluation)	1991	2,000
WLB Replacement Project (Lead Ship Construction Award)	1992	****67,700
WLB Replacement Project (Project Planning & Administration)	1993	1,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	45,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	*****380,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE SEAGOING BUOY TENDER (WLB) CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Award Construction Option for additional WLBs.............	EA	2	1/ 36,000
2. Integrated Logistics Support..	EA	2	7,000
3. Operational Test & Evaluation Planning.........................	LS	1	1,000
4. Project Resident Office Establishment/Administration....	EA	1	250
5. Project Administration/Support Services Contracts........	EA	1	750
	Total		$45,000

NOTES:
*Actual crew size subject to change depending on final design considerations.
**FY89 appropriation jointly funded the WLB and WLM replacements.
***Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction.
****FY92 includes $1.2M reprogrammed from WPB acquisition project.

1/ $20M carryover from FY93 will support the construction option for the additional WLBs.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE COASTAL BUOY TENDER (WLM)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,700,000

Reason for Request: To replace the capabilities of the aging fleet of 133-foot and 157-foot coastal buoy tenders (WLMs).

Description of Problem or Need: The current fleet of six 133-foot and five 157-foot WLMs are at or near the end of their service lives. Decreasing maintainability and reliability reduce their capability to meet the Short Range Aids to Navigation (SRA) mission requirements.

Description of Solution: Continue the acquisition project to replace the existing WLMs. Proposal evaluations and award of a Design and Lead Ship Construction contract will take place in FY93. Options for additional vessels will be awarded in future years to complete the fleet replacement.

Benefits: The capability to maintain SRA in coastal areas will be retained. New cutters will be more reliable and easier to maintain. The replacement WLM will have improved seakeeping and maneuverability over present classes of WLMs, and will use current technology and systems, thereby increasing SRA maintenance efficiency. Based on the increased capabilities of the new WLM and the results of the service force mix decision support system, an increase in the current fleet size from 11 to the currently estimated 14 would result in a reduction of at lease 10 larger and more expensive seagoing buoy tenders.

Project Accomplishments:
a. JUL 88: Acquisition Paper approved as combined WLB/WLM project.
b. OCT 90: WLM replacement established as a separate project.
c. APR 92: Demonstration & Validation phase and Full Scale Development approved.
d. JUL 92: Request for proposal (RFP) issued for design and construction of a lead ship with options for up to 13 additional vessels.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT 133' WLM CREW SIZE	---	1	23	---	24
CURRENT 157' WLM CREW SIZE	3	2	28	---	33
PLANNED WLM REPLACEMENT FLEET CREW SIZE	---	1	23	---	*24

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WLB/WLM Replacement Project (Feasibility Studies Concept Design)	1989	**3,200
WLM Replacement Project (Solicitation Development)	1991	550
WLM Replacement Project (Solicitation Development)	1992	3,000
WLM Replacement Project (Detail Design & Construction Contract)	1993	***23,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	****317,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE COASTAL BUOY TENDER (WLM) CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Test & Evaluation	LS	1	500
2. Project Resident Office Establishment/Administration	EA	1	600
3. Project Administration/Support Services	EA	1	600
	Total		$1,700

NOTES:
*Actual crew size subject to change depending on design chosen.
**FY89 appropriation jointly funded the WLB and WLM replacements.
***Includes $4.5M Congressional reprogramming from FRAM project.
****Outyear costs are uncertain until construction contract is awarded.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
47-FOOT MOTOR LIFEBOAT (MLB)	VARIOUS	$1,000,000

Reason for Request: To continue a multi-year program started in FY 1988 to replace the Coast Guard's aging fleet of 105 44-foot MLBs.

Description of Problem or Need: The present resource, the 44-foot MLB, has been in use since 1962. The boat shows signs of material deterioration expected of a vessel nearing the end of its service life. A replacement craft with similar operational capabilities but with increased speed, more crew comfort, and better ride characteristics is being developed to provide a continued heavy weather and surf Search and Rescue (SAR) capability.

Description of Solution: A contract was awarded in November 1988 for the design and construction of a prototype motor lifeboat replacement. Following a successful prototype evaluation, the Coast Guard executed a contract option in November 1991 for the construction of 5 pre-production boats, incorporating modifications recommended during the prototype evaluation. The 5 pre-production boats will be evaluated under operating conditions at MLB stations in the Northwest, Northeast, and Middle Atlantic coastal areas. Design changes recommended during the pre-production evaluation will be incorporated into the full production replacement specification. A solicitation for the full production contract is planned for in FY 1995. The contract will provide options for 20 boats per year through FY 2002.

Benefits: The replacement boat will maintain the Coast Guard's capability to perform in-shore SAR in heavy weather and breaking surf conditions. Replacement boats will incorporate improvements to minimize crew fatigue and improve at-sea boarding for SAR and enforcement of laws and treaties missions, as well as increased speed for more effective SAR response. The replacement MLB will also reduce maintenance requirements and improve logistics support by providing a modern resource with an established central supply system.

Project Accomplishments:
a. NOV 88: Awarded contract to Textron Marine Systems, Inc of New Orleans, LA for prototype vessel.
b. SEP 90: Prototype delivered to Coast Guard.
c. OCT 91: Completed Developmental Test and Evaluation.
d. NOV 91: Exercised option for 5 pre-production vessels for operational test and evaluation.
e. SPRING 93: Pre-production vessels to be delivered to various Coast Guard boat stations for testing.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NO CHANGE				
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Prototype Design and Construction	1988	1,500
Project Support	1989	500
Prototype Testing/Design Modification	1990	*5,783
Boat Testing, Design Modification	1991	1,000
Boat Testing, Design Modification	1992	1,250
Boat Testing, Design Modification	1993	2,400

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	86,100
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE 47-FOOT MOTOR LIFEBOAT (MLB) CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Project Administration	LS	---	110
2. Prospective Design Changes	LS	---	150
3. Supply Support	LS	---	260
4. Training	LS	---	200
5. Test and Evaluation	LS	---	280
	TOTAL		1,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE BUOY BOAT (BUSL) REPLACEMENT	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,500,000

Reason for Request: To continue the acquisition of replacements for the existing fleet of 28 buoy boats (BUs and BUSLs) used by Aids to Navigation Teams in servicing small buoys and fixed aids.

Description of Problem or Need: All the buoy boats now in service were constructed between 1954 and 1962. They have passed the end of their service life and require excessive maintenance. Several of the original 36 BUSLs were previously removed from service due to excessive wear. Habitability is below service standards , which reduces personnel performance. The bow loading boats were built before current sanitary requirements and do not have adequate toilet facilities nor room for proper retrofit. In the near future, these boats will not be able to provide the level of service required in the Coast Guard Short Range Aids to Navigation (SRA) mission. Timely response to SRA outages will be lost, degrading SRA system service to the maritime public.

Description of Solution: Continue to build new stem loading buoy boats to replace those buoy boats currently in service. A contract design was completed in FY92 and a construction contract was awarded in Oct 92. These boats are designed using current technology and systems which will cut maintenance time for the new boats and provide modest improvements in their capabilities (speed, seakeeping, habitability, etc.).

Benefits: Replacement of the obsolete boats with current systems and better capabilities will reduce maintenance costs and increase reliability. Speeds will increase from 7-9 knots on the existing boats to about 12 knots on the new boat, reducing response time. Maintenance will be reduced by replacing old unsupportable systems with modern equipment. Aids to Navigation Teams will be more capable of meeting the Aids to Navigation maintenance requirements, providing more reliable service to the mariner.

Project Accomplishments:
a. SEP 91: Concept Exploration approved.
b. DEC 91: Completed Small Business Administration 8(a) market survey for potential sources.
c APR 92: Full Scale Development approved.
d. OCT 92: Contract awarded under SBA 8(a) program to MCI of Bellingham, WA for 2 pre-production boats with options for up to two more.
e. OCT 92: Established Project Resident Office in Bellingham, WA.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NO CHANGE				
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Buoy Boat Replacement Project (Design Boat)	1991	1,000
Buoy Boat Replacement (Initial Construction)	1992	3,900
Buoy Boat Replacement (OT&E)	1993	500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	*33,700
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Operational Test and Evaluation	LS	----	500
2. Integrated Logistics Support	LS	----	500
3. Project Resident Office Administration	LS	----	150
4. Project Administration/Support Services	LS	----	350
	TOTAL		1,500

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE POLAR ICEBREAKER FOLLOW-ON	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $ 3,700,000

Reason for Request: To fund administrative and technical support services and the initial procurement of long-lead time spares for the Polar Icebreaker Replacement (PIR).

Description of Problem or Need: Contracts to develop Engineering Design Baselines have been awarded to two ship builders. The option for detail design and construction of a polar icebreaker will be exercised in the 4th quarter of FY93, using funds appropriated to the Department of Defense Shipbuilding and Conversion, Navy (SCN) account. The SCN account cannot, by law and the U.S. Navy policy, be used to cover Inventory Control Point (CIP) system spares, training, and some administrative costs, which are normally funded by Coast Guard AC&I funds.

Description of Solution: Continue to provide funds during the contract award period of the design and construction of the polar icebreaker for those costs not covered by SCN.

Benefits: The Coast Guard will be capable of fully supporting the new polar icebreaker when it is delivered. Training and logistic support will enable the icebreaker to be more reliable, and the national icebreaking capabilities will be significantly improved.

Project Accomplishments: Missions needs statement (MNS) and the Sponsors Requirements Document (SRD) approved in 1984. Memorandum of Agreement (MOA) with the Navy in 1990 formalized the replacement project as a joint CG/Navy program. Request for Proposals (RFP) cancelled in Mar 1992 when proposals exceeded Navy full funding requirements. CG updated the SRD after review of requirements with the ice science community. In Oct 1992, contracts for Engineering Baseline Designs, based upon a Specification of Requirements (SOR) and the SRD, were issued to two contractors with option for final design construction.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	7	1	42	---	50*

APPROPRIATION HISTORY*

PROGRAM	YEAR	AMOUNT ($000)
Polar Icebreaker Acq	1988	2,000
Polar Icebreaker Acq	1989	1,000
Polar Icebreaker Acq	1990	500
Polar icebreaker Acq	1992	8,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	23,450
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Project Staff Support	LS	----	500
2. Inventory Control Point (ICP) Spares	LS	----	100
3. Technical Support Services	LS	----	3,100
	TOTAL		3,700

NOTE: Does not reflect $338,921,000 provided in the DOD SCN account for acquisition of the icebreaker.
* Actual crew size subject to change based on final design.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE CONFIGURATION MANAGEMENT (CM)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,400,000

Reason for Request: To continue implementation of configuration management (CM) on six classes of Coast Guard cutters.

Description of Problem or Need: Operational commanders presently lack information that will be available in a fully functional CM system. Coast Guard personnel spend a great deal of time locating correct documentation before any support/production work can begin. Drawing accuracy is poor. Accurate configuration data is needed for all echelons (including the cutters themselves) to operate, maintain, and support the units. These problems were documented in both the Fleet Renovation and Modemization (FRAM) and Mid-life Maintenance Availability (MMA) projects.

Description of Solution: Continue to establish and implement a standard configuration management system on six cutter classes for use by all operating and support managers. Cutter configuration will be determined by a configuration review of each ship. This review is an on-site, visual verification and cataloging of all major equipment and systems. Information, such as equipment manufacturer, stock numbers, location, subsystem components and technical references are captured on a computer data base which will be available to the individual cutter, Maintenance and Logistics Commands, Supply Centers and Headquarters. Software, developed by the Volpe National Transportation Systems Center, will be installed to utilize CM data to generate and process reports and requests via automated entry of database information and through electronic transfer of data. Configuration data will also be used to correct ship's plans and drawings and will be compatible with U.S. Navy logistics systems. The six cutter classes include: 400' WAGB, 378' WHEC, 270' WMEC, post-MMA WMEC (210), 140' WTGB and 110' WPB--101 cutters in all. Development of Coast Guard specific software and prototype evaluations aboard two cutter classes are currently underway. This phase will provide funds to validate equipment configurations and install CM software on approximately 15 cutters.

Benefits: Accurate configuration data will greatly improve logistics performance on and off the cutter. For the first time support data will be directly linked to the configuration items. Data will reflect actual cutter configurations which will facilitate shipyard repair/overhaul specifications and the correction of casualties while also providing for accurate management of spare parts inventories. Routine business transactions will be more accurate and require less effort. Configuration data will provide the basis for casualty reporting, maintenance requests, planning and budgeting, mobilization logistics, allowance list development as well as maintenance and supply support.

Project Accomplishments: Prototype configuration management systems have been installed in eight cutters for evaluation. Unit Level Logistics Information System (CMplus) and Configuration Review (CR) are being piloted on a 140' WTGB.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	NOT APPLICABLE				
PLANNED..					

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
CONFIGURATION MANAGEMENT(AC&I) PHASE I	1991	3,000
CONFIGURATION MANAGEMENT(AC&I) PHASE I/II	1992	5,700
CONFIGURATION MANAGEMENT(AC&I) PHASE III	1993	5,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	3,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT................	9,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.................	----

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE CONFIGURATION MANAGEMENT (CM) CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,400,00

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	ESTIMATED COST QTY	($000)
1. Validate installation cutter configuration of CM software products	EA	15	2,100
2. Support Services user hotlines, computer system/software technical support training	LS	--	1,000
3. Cutter standard Workstation Upgrades	EA	30	300
	TOTAL		3,400

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE SHIPBOARD COMMAND AND CONTROL SYSTEM (SCCS)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,600,000

Reason for Request: To resume acquisition of the Shipboard Command and Control System (SCCS). This phase involves the installation of the system on four 378-foot High Endurance Cutters (WHECs) .

Description of Problem or Need: WHEC's do not have current technology Command, Control, and Communications systems. Information processing and exchanges with other units are manpower intensive and too slow for the operational environment in which these ships work. They are not able to efficiently process information required for Alien Migration Interdiction Operations, Fisheries and Drug Law Enforcement, Search and Rescue and other operational missions.

Description of Solution: The Shipboard Command and Control project is a multi-year project. This budget request is for the installation of a command, control, and communications system on four 378-foot WHEC's in FY94. The installation includes: Desktop Tactical Computer II/Joint Visually Integrated Display System software, Interoperable Two Way Data Links (OTCIXS/Link 11), SPA 25(G) radars, and Large Screen displays, all integrated on a Local Area Network. Automation will provide more efficient use of sensors as well as Integrate information processing. This concept has been successfully prototyped on the CGC Dallas and proved invaluable in actual operations. The project, when completed, will outfit all twelve 378-foot High Endurance Cutters (WHEC's).

Benefits: SCCS greatly enhances an operational commander's ability to make critical decisions by combining own ship and other ship/shore/inputs via two way satellite communications to provide complete, accurate, up to date information. Navigational and situational displays reflect events as they occur, instead of relying on data that is hours or days old. This same information can be transmitted to numerous commands engaged in multi-unit operations. This system also provides important DOD interoperability to the Coast Guard's otherwise most capable ship.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	0	0	0	0	0
PLANNED	3	---	---	---	3

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Shipboard Command and Control System - Phase I	1989	1,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	8,000

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Funding for systems on four 378' WHECs #'s 2-5	LS	---	3,600

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SURFACE SEARCH RADARS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $5,600,000

Reason for Request: To replace the current surface search radar system installed on cutters with a non-developmental, state of the market, radar system that meets the Coast Guard's (CG) operational requirements.

Description of Problem or Need: The current surface search radar, introduced into the Coast Guard in 1976, is operating beyond its 15 year life cycle. Support costs are increasing. Manufacturer production of certain components has ceased, making future support expensive and uncertain. A more versatile radar system, based on an open architecture, is required to ensure maximized cutter performance during FISH/DRUG Law Enforcement, Marine Safety and Marine Environmental Protection missions.

Description of Solution: The Surface Search Radar Replacement Project is a multi-year project. This budget request is for initial year funding to establish a contract for 30 radar systems for first article testing, engineering evaluation, complete required ship alterations, develop/review manufacturer's technical documentation and operation/maintenance training tapes.

Benefits: The replacement surface search radar system will improve operational performance in all missions, particularly waterways management, harbor steaming and law enforcement, as well as enhance vessel safety due to improved target detection/acquisition capabilities. We will replace an aging and uncertain system with a state of the market radar system that offers increased flexibility with reliable performance and maintenance.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NO CHANGE				
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
NEW PROJECT		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	28,000

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Funding for Contract , 30 radar systems for first article radar testing, engineering evaluation, and establishing technical documents	LS	---	5,600

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE FT4A GAS TURBINE LOGISTICS SUPPORT	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,000,000

Reason for Request: To improve reliability and supportability of propulsion gas turbines used by 378-foot High Endurance Cutters (WHEC's) and 400-foot Polar Icebreakers (WAGB's).

Description of Problem or Need: The Pratt & Whitney FT4A engine has been out of production for many years; the marine version of the engine is essentially CG unique. Repair parts are not commercially available or have exceptionally long delivery times causing significant maintenance and logistics problems. The lack of a readily available source of spares has resulted in numerous overhaul contractor claims, substitutions with worn or damaged parts leading to shorter turbine service life, and an unreasonable expenditure of personnel resources at every level. Original equipment manufacturers and other commercial sources of repair parts will continue to decline in the future. Direct management of spares and repair parts is the approach now being used by nearly all remaining commercial FT4A/GG4A users such as utilities and pipeline operators.

Description of Solution: This project enables the Coast Guard to establish and manage inventories of only those spare parts which have proven to have unreasonable commercial supply support. The Coast Guard is essentially reprovisioning a portion of the FT4A in order to recognize and accommodate changes which have occurred within the commercial gas turbine maintenance community. Direct management of CG unique parts will allow the government to procure these parts through economical quantity contracts.

Benefits: Active Coast Guard supply support for the FT4A will improve maintenance at the organizational, intermediate and depot level. This program will ensure the FT4A gas turbine will reliably sustain the mission capabilities of the 378-foot (WHEC) and 400-foot (WAGB). As a result of reprovisioning the FT4A, reliability will improve and maintenance costs will stabilize.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NO CHANGE				
PLANNED					

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
NONE		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	3,300

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Procure initial spares	LS	----	3,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE POLAR CLASS REPLACEMENT MAIN PROPULSION MONITORING AND CONTROL SYSTEM (MCAM)	NEAREST CITY & CONGRESSIONAL DISTRICT SEATTLE, WA - 1ST	AMOUNT REQUESTED $3,000,000

Reason for Request: To provide funding necessary to complete the replacement of the main propulsion monitoring and control system on the Polar Class icebreakers (WAGBs). This funding completes the MCAM project and includes the installation and testing of the system on the POLAR icebreakers.

Description of Problem or Need: Previously appropriated funding to replace the main propulsion monitoring and control system aboard the Polar Class icebreakers has been exhausted. To date, the contractor has passed First Article Testing and is ready to install a test system in parallel with the existing main propulsion consoles. The technical complexity of this project, coupled with inflexible operational schedules of the two WAGB cutters, has delayed project completion and increased engineering development costs of the contractor. Replacement of the MCAM system has been developed to correct major flaws in the monitoring portions of the main propulsion consoles which require frequent trouble shooting and maintenance. Monitoring-system failures can disable the ship, since there is no alternate or backup method to control the main propulsion plant. Necessary manufacturer support of the existing system is no longer available.

Description of Solution: Provide funding to test a shipboard parallel installation where the new console will be interfaced with the shipboard machinery on one shaft and operated in parallel with the existing console controlling the remaining two shafts. Following the successful parallel installation, the new console will be installed on both cutters.

Benefits: Replacement of the monitoring and control system will provide commercial supportability and maintainability. Improved performance and a reduction of control systems failures will reduce cutter lost time, improve safety in operations, and will allow the icebreaker to accomplish significantly more scientific work on any given deployment.

Project Accomplishments: Completed console design and construction, First Article Testing of the console and Factory Acceptance Testing of the MCAM software.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	9	5	126	--	140
PLANNED					

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Polar Class Icebreaker MCAM	1984	2,800
Polar Class Icebreaker MCAM	1987	7,250
Polar Class Icebreaker MCAM	*1990	1,600

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Install MCAM on both (WAGB) cutters	LS	---	3,000

*Represents reprogrammed funds.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE 210-FOOT MEDIUM ENDURANCE CUTTER (WMEC)-MAJOR MAINTENANCE AVAILABILITY (MMA)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $43,200,000

Reason for Request: To continue the 210-foot Medium Endurance Cutter (WMEC) Major Maintenance Availability (MMA) program. This budget request is for completion of work on cutters B-5 and B-6, continuing work on B-7 and commencement of work on B-8 and B-9.

Description of Problem or Need: Sixteen 210-foot WMEC's were built from 1963 to 1968, five "A" Class and eleven "B" Class cutters. Main propulsion machinery and auxiliary equipment are nonstandard, creating logistics and training problems. Reliability and habitability have declined over the years, and maintenance costs on original equipment are excessive. Two of the sixteen cutters are homeported on the West Coast and the remainder are on the East and Gulf Coasts.

Description of Solution: This multi-year project involves performing a major maintenance availability to provide increased reliability and improved logistics support. Fuel and water capacities are increased, and damage control and sea keeping capabilities are improved. The five "A" Class cutters were also reengined. Electrical and auxiliary systems are being improved and standardized, the electronics suite is being upgraded, and berthing areas are being modernized.

Benefits: This program will ensure this class cutter will remain mission capable and supportable for the remainder of its service life. As a result of the MMA, reliability will improve, and maintenance costs will not escalate significantly. Improvements in onboard equipment and stability will enhance mission performance and safety.

Project Accomplishments: The first phase of this project was funded in FY82 and provided for the initial ordering of Long Lead Time Material (LLTM) for the overall project. The second phase occurred between FY83-90 and funding provided for production work and material for the five A-class cutters at the CG YARD and the two B-class cutters at a commercial YARD. The FY90 funding request was changed due to the transition of remaining B-class from commercial shipyard to CG YARD. The current and final phase of this project began in FY91 and provides funding for the production work and material for completing the last CG YARD A-class and the remainder of the B-class cutters at the YARD.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	7	1	63	--	71*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
210-FOOT WMEC MMA LONG LEAD TIME MATERIAL (LLTM)	1982	6,000
210-FOOT WMEC MMA LLTM AND A-1	1983	16,000
210-FOOT WMEC MMA LLTM AND A-1	1984	34,300
210-FOOT WMEC MMA LLTM, A-1, A-2 AND B-1	1985	15,050
210-FOOT WMEC MMA LLTM, A-1, A-2 AND B-1	1986	25,500
210-FOOT WMEC MMA LLTM, A-2, A-3, B-1 AND B-2	1987	11,300
210-FOOT WMEC MMA LLTM, A-2, A-3, B-1 AND B-2	1988	31,500
210-FOOT WMEC MMA LLTM, A-3, A-4, B-1 AND B-2	1989	30,500**
210-FOOT WMEC MMA LLTM, A-4, A-5 AND B-2	1990	7,970***
210-FOOT WMEC MMA LLTM, A-5 AND B-3	1991	32,500
210-FOOT WMEC MMA LLTM, B-4 AND B-5	1992	38,500
210-FOOT WMEC MMA LLTM, B-6 AND B-7	1993	41,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	43,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	34,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE 210-FOOT MEDIUM ENDURANCE CUTTER (WMEC)-MAJOR MAINTENANCE AVAILABILITY (MMA)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Production costs: B-5 thru B-9	LS	---	27,200
2. LLTM and supply/support services	LS	---	16,000
	TOTAL		43,200

NOTE *Personnel Allowance for each 210-foot WMEC

**Includes $10,500,000 reprogrammed for HH-65A T-800 aircraft engine proof of concept program in FY90.

***Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE OPERATION BAHAMAS TURKS AND CAICOS (OPBAT)-HELICOPTER - PHASE IV	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $55,200,000

Reason for Request: To complete procurement of Medium Range Recovery (MRR) helicopters to support the Operation Bahamas, Turks and Caicos (OPBAT) drug law enforcement mission. The request will fund the last three helicopters of an eleven (11) helicopter acquisition program and also represent the final purchase of HH-60J helicopters.

Description of Problem or Need: Beyond FY 1993, it will not be cost effective to continue operating the aging HH-3F fleet due to increased unit-and depot-level maintenance, increased corrosion, increased major component failures, and a declining support system. Without this replacement program, the Coast Guard will not have MRR helicopters to support OPBAT.

Description of Solution: Procure three additional MRR helicopters to meet OPBAT operational requirements, and provide attrition spares for the entire Coast Guard HH-60J fleet.

Benefits: The Coast Guard will be able to fully support the OPBAT mission.

Project Accomplishments: Eight (8) OPBAT aircraft on contract. Aircraft #7 funded by the Navy. First delivery of OPBAT aircraft scheduled for Oct 93.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NOT APPLICABLE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Procure HH-60J OPBAT Helicopters	1991	*36,800
Procure HH-60J OPBAT Helicopters	1992	38,500
Procure HH-60J OPBAT Helicopters	1993	**20,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	55,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Procure helicopters (#'s 9, 10, 11) spares and logistic support	EA	3	55,200

*Excludes $8,200,000 reprogrammed from the FY 1990 HH-65 engine improvements project into the OPBAT Program.
**Includes $5.17M in Congressional reprogramming from HH-65 project.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE TRAFFIC ALERT AND COLLISION AVOIDANCE SYSTEM (TCAS) -PHASE II	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $4,200,000

Reason for Request: Fund phase two of the five-phase TCAS installation project for all Coast Guard aircraft. TCAS will provide enhanced accident prevention thus reducing future accidents, loss of lives, and airframes due to mid-air collisions.

Description of Problem or Need: Coast Guard aircraft have filed 57 near miss/mid-air reports with the FAA in the past four years and have had three actual mid-air collisions with four fatalities since 1971. The most recent mid-air occurred on 22 December 1990 when an Air Station Miami HU-25 and a Cessna Skymaster charter aircraft collided off south Florida.

Description of Solution: Provide an in-cockpit traffic advisory and collision avoidance system by procuring and installing FAA approved TCAS on all Coast Guard aircraft. If the Miami HU-25 had an operable TCAS aboard, the system would have provided a cockpit traffic advisory and resolution advisory which should have prevented the mishap. Congress mandated an avionics safety system (Public Law 100-223) for commercial airliners with applications for any aircraft operator. TCAS was the solution developed and tested by the FAA to reduce the risk of mid-air collisions between aircraft with transponders. Phase I of this project funded hardware, engineering and integration, and installation for one fixed wing aircraft. Phase II continues fixed wing installations and provides engineering and integration funding for rotary wing installations of TCAS.

Benefits: Installed TCAS will provide enhanced flight safety for all Coast Guard aircraft. The FAA estimates a reduction by a factor of 50 for near mid-airs when TCAS is installed on all commercial airliners. TCAS is an excellent insurance policy to eliminate near miss and mid-air incidents.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
TCAS Phase I	1993	4,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	22,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. C-130 TCAS hardware/installation kits/installations	EA	9	1,030
2. HU-25 TCAS hardware/installation kits/installations	EA	22	1,900
3. Fixed wing/TCAS II sparing	LS	---	470
4. HH-65 TCAS integration/NRE	LS	---	200
5. HH-60 TCAS integration/NRE	LS	---	200
6. VC-4 TCAS hardware/installation kits/installations	EA	1	200
7. VC-11 TCAS hardware/installation kits/installations	EA	1	200
	TOTAL		4,200

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE **GLOBAL POSITIONING SYSTEM INSTALLATION-PHASE IV**	NEAREST CITY & CONGRESSIONAL DISTRICT **VARIOUS**	AMOUNT REQUESTED **$1,800,000**

Reason for Request: To fund Phase IV of a six-phase, seven-year procurement that will make necessary aircraft hardware and software modifications, and install Navy-provided Global Positioning System (GPS) navigation equipment aboard all Coast Guard (USCG) aircraft by the mid-1990s. This request provides hardware/software modifications and installation of GPS on 31 aircraft.

Description of Problem or Need: GPS becomes fully operational in 1993. During FY 1994, DoD plans to begin phasing out its requirement for and support of all other common-use radio navigation systems. OMEGA and LORAN-C equipment, currently used by USCG aircraft for enroute navigation will need replacing. The phased procurement and installation plan of the more accurate GPS system must continue as requested to provide USCG aircraft with global navigation capability matching that of DoD aircraft. This will allow common reference positions when operating with DoD and avoid operational difficulties with joint USCG/DoD operations.

Description of Solution: Military GPS is a space-based global precision navigation system with a nominal accuracy of 16 meters and signal security protection against enemy jamming. This phased, multi-year project will make necessary hardware and software modifications, and install Navy-provided GPS aboard all USCG aircraft, except the HH-60J helicopters (GPS will be funded and installed aboard HH-60J helicopters in conjunction with the USCG's ongoing multi-year Medium Range Recovery and OPBAT Helicopter Replacement Programs). The Navy plans to fund airborne GPS equipment and integration costs for CG aircraft and provide the Integrated Logistic Support Management to develop maintenance and training plans and identify a source for depot level maintenance.

Benefits: Improved precision global navigation capability (16 meters for military GPS compared to 4.0 nautical miles for OMEGA and .25 nautical mile for Loran-C) that complies with the 1988 joint DoD/DoT Federal Radionavigation Plan, and a common reference position when operating with DoD.

Project Accomplishments: Phase I (funded in FY90) procured installation kits and began installation of GPS aboard the first 12 of 96 HH-65s. Phase II (funded in FY92) provided development funds for modifications and installation in 4 aircraft. Due to Desert Storm, 1991 priorities on GPS equipment were directed to the DoD forces and USCG did not receive the projected delivery of equipment. Phase III (funded in FY93), provided hardware/software modifications and installation of GPS aboard 22 additional aircraft.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NOT APPLICABLE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT($000)
Global Positioning System Phase I	1990	1,595
Global Positioning System Phase II	1992	2,000
Global Positioning System Phase III	1993	*3,100

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	5,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	-----

DEPT OF TRANSP. USCG. CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE GLOBAL POSITIONING SYSTEM INSTALLATION-PHASE IV CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. HH-65A Hardware/software Modifications	LS	---	115
2. HH-65A Installations	EA	20	200
3. HU-25 Hardware/software Modifications	LS	---	250
4. HU-25 Installations	EA	10	120
5. HC-130 Hardware/software Modifications	LS	---	665
6. HC-130 Installations	EA	1	25
7. GPS Documentation/manuals	LS	---	175
8. Training	LS	---	75
9. TEMPEST Training	LS	---	50
10. Simulator Upgrades	LS	---	125
	TOTAL		1,800

*Includes $1.97M in Congressional reprogramming from HH-65 reengineering project.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE AIRCRAFT COCKPIT VOICE RECORDERS (CVR) AND FLIGHT DATA RECORDERS (FDR) - PHASE IV	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,500,000

Reason for Request: To continue installation of CVR/FDR units in Coast Guard aircraft.

Description of Problem or Need: The Coast Guard cannot always determine relevant causal factors in aircraft accidents due to the inability to reconstruct flight conditions that were present prior to the accident, thereby impeding our ability to prevent costly future accidents. A recovered airframe alone does not reveal the causes of an accident. Since 1978, 34 Coast Guard personnel have been killed in 10 aircraft accidents, with total airframe replacement costs of $24,500,000. In addition, another $6,700,000 in substantial damage or loss was sustained in accidents where there was no loss of life. The exact causal factors were not determined in these accidents due to the lack of CVR/FDR data in the HH-3F, HH-52A, HH-65A and HU-25 aircraft and the lack of FDR data in our VC-4 and VC-11A aircraft. Had they been available, data from CVR/FDR would have greatly aided the investigators of these incidents, thereby possibly preventing future accidents similar in nature.

Description of Solution: Phase four of this multi-phase project will continue installation of CVR/FDR in HH-65A helicopters. Solid state CVRs provide a 15-minute record of all voice communications originating from or received in the cockpit, individual crew stations, and over the public address system. Other cockpit sounds such as activating switches, aural warnings, and changes in engine sound frequencies are recorded via area microphones. Solid state FDRs provide a 30-minute record of various aircraft flight parameters, to include: altitude, airspeed, heading, vertical acceleration, power on each engine, and various system parameters (hydraulic, electrical etc).

Benefits: Installed CVR and FDR systems will enable more complete and conclusive post-accident investigations. Knowing what aircraft performance characteristics and crew voice communications were prior to an accident would be invaluable in determining the cause of an accident. Lessons learned from CVR/FDR data, when applied to pilot and aircrew training, can help prevent future accidents and the resultant loss of life and expensive aircraft.

Project Accomplishments: Market survey of DOD and commercial systems completed. Performance requirements and preliminary design concepts completed. CVR/FDR crash data analysis support with Army and Navy Safety Centers initiated. Non Recurring Engineering (NRE) effort for the HH-65 system initiated.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	1	---	1	2
PLANNED..	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Aircraft CVR and FDR, Phase I	1991	1,200
Aircraft CVR and FDR, Phase II	1992	3,000
Aircraft CVR and FDR, Phase III	1993	*6,700

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	1,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT...............	9,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. HH-65A CVR/FDR hardware/installation kits..................	EA	11	1,500

*Includes $3.5M in Congressionally reprogrammed funds from HH-65 project.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE HH-65 HELICOPTER /HU25 FIXED WING - SIMULATOR UPGRADE		NEAREST CITY & CONGRESSIONAL DISTRICT MOBILE, AL	AMOUNT REQUESTED $1,300,000

Reason for Request: To provide a computer replacement for the HH65 and HU25 flight simulators that have reached their limit of supportability and memory capacity and to update the HH65 aerodynamic model. This project will ensure flight simulators remain effective and economical training devices in the aviation training program for an additional 10 years.

Description of Problem or Need: The HH65 and HU25 flight simulator computer is not supportable after 1995. The computer memory capacity is saturated, requiring longer calculation time to simulate aircraft response; this leads to degraded (slower) simulator response giving pilots faulty performance reactions. Additional simulator upgrades to reflect current aircraft systems operations, cockpit equipment, and airframe performance are no longer possible due to lack of required memory. The HH65 aerodynamic model is based on the civilian version helicopter with different engines. The HH65 simulator is not realistic in the slow speed regime due to major dissimilarities with the actual aircraft. Data on the HH-65 aircraft has been obtained. It needs to be included in the simulator program.

Description of Solution: Provide computer replacement with increased memory and economically supportable hardware. Incorporate updated HH65 performance data in the simulator aerodynamic model. This will enhance the HH65 simulator to take advantage of the slow speed performance criteria that currently are unusable in the simulator and provide supportable computer technology. This will be a one year project to upgrade the HH65 and HU25 computers and the HH65 aerodynamic model.

Benefits: Upgrades to the simulator will ensure availability of simulators for aviation training programs at ATC Mobile, AL. In addition it will provide more realistic simulator based training for the HH65 and HU25 aircraft. This will decrease the dependency on the operational aircraft and make transitioning smoother for the students. Enhanced simulator performance in the HH65 (slow speed envelope) will better prepare pilots for emergencies and enable students to practice critical maneuvers in the simulator with positive learning skills prior to experiencing them in the aircraft. This project will further enhance the proficiency course training in evaluating pilots for annual instrument renewal and emergency procedure knowledge.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. RSX 32 Computer System Replacement	EA	3	650
2. Upgrade H65 Aerodynamic Model	LS	---	650
	Total		1,300

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE **AUSTERE LOGISTICS AIRCRAFT PURCHASE**	NEAREST CITY & CONGRESSIONAL DISTRICT **Miami, FL - 17th**	AMOUNT REQUESTED **$3,400,000**

Reason for Request: Fund purchase of an Austere Logistics Aircraft (ALA).

Description of Problem or Need: The Seventh District has an overwhelming need for logistic support of deployed cutters and aircraft in the Carribbean area of responsibility. All existing USCG aircraft are multi-mission capable of more diverse operations than logistics, primarily search and rescue and law enforcement. The logistic support requirement has resulted in the multi-mission aircraft dedicating a major portion of limited flight hours to transporting equipment and passengers for cutters and aircraft support. A more economical resource is needed for a dedicated logistics aircraft.

Description of Solution: A fixed-wing logistics aircraft was leased for an evaluation of the concept. This aircraft has successfully proven that a dedicated logistics aircraft is beneficial for the Seventh District in supporting law enforcement (LE) operations in the Caribbean. It has allowed HC-130 and HU-25 aircraft to dedicate flight hours to other more critical LE operations.

Benefits: The concept has proven it is more economical to operating an aircraft of this type for logistics than to divert an HC-130 or HU-25 to carry passengers or equipment to Guantanamo Bay, Cuba and other Caribbean operating bases. Purchase of an ALA aircraft vice continuing to lease is cost beneficial in the long term. This dedicated resource would alleviate usage of limited flight hours on the multi-mission aircraft.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NO CHANGE				
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Austere Logistics Aircraft Purchase	EA	1	3,400

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
HH-65 HELICOPTER – TRANSMISSION GEARBOX UPGRADE	VARIOUS	$4,500,000

Reason for Request: Provide funding to initiate a phased upgrade/replacement of the HH-65 Main Transmission Gearbox (MGB).

Description of Problem or Need: The mandated rescue swimmer program (Public Law 98-557) has led to a reduction in SAR fuel loading (225 lbs), operationally reducing the HH-65's SAR range from 150 nm to 120 nm. The HH-65 has no hover power margin when operating at high gross weights in meteorological conditions exceeding a standard temperature day. In the past three years, 67 MGB overtorques have occurred, resulting in unscheduled transmission inspections and overhauls at a cost of $2.3M. Pilot workload and stress is increased during hover and hoisting operations due to the lack of available MGB torque.

Description of Solution: The planetary gears, vertical shaft and ring gears of the MGB will be replaced to convert an N1 MGB to an N2 MGB. The N2 upgrade will be scheduled during the mandatory 3000 hour N1 MGB overhaul cycle and "on demand" due to overtorques. The conversions will occur over a four-year time frame.

Benefits: SAR operational range will be restored to 150 nautical miles. Pilot workload and stress will be significantly lowered during demanding hover and hoist operations. MGB overtorques will be reduced by approximately one-third. Maximum efficiency will be realized with the N2 conversion coinciding with the mandatory 3000 hour overhaul cycle.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING (NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT($000)

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	8,300
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. HH-65 N2 MGB hardware/installations	EA	61	4,500

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE SYSTEMS TO AUTOMATE AND INTEGRATE LOGISTICS (SAIL)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED 6,600,000

Reason for Request: To continue the development of an integrated, automated Coast Guard logistics system. FY 1994 efforts include software development, computer hardware installation at pilot Supply Center sites, and contract /support services required to integrate various information systems.

Description of Problem or Need: The SAIL initiative resulted from the need to address long-standing USCG logistics problems that include: cost overuns on fleet service life extensions (e.g., FRAM, MMA, SLEP); unresponsive supply support to the fleet; inventory management deficiencies (inventory onhand not always the right parts needed; inaccurate allowance parts lists); lack of cost accounting, historical data, and management information; aging & technological obsolete non-aviation supply center computers; lack of vessel configuration management; and lack of interconnectivity with all CG logistics organizations. DOTIG and GAO audits have identified weaknesses in Coast Guard logisitics which is based on 1950-60's processes and organizations.MLC's and Supply Centers maintain unique business practices with stand alone information systems. Allowance documents are out of date. There is no accurate, timely record of vessel configurations on which to base the supply inventory stocking levels, unit allowance parts list, and work specifications for contract repairs or maintenance. There is no historic information on which to base maintenance and repair forecasts.These are systematic problems which can only be solved by reengineering logistics business practices and integrating logistics information systems.

Description of Solution: The SAIL initiative will identify and implement the most efficient/effective organization and business pratices for Coast Guard logistics through a Business Practice Re-engineering (BPR) effort to update current, archaic business pratices. The SAIL initiative will coordinate development efforts, data definitions, and information system designs among all players (HQ, SUPCEN's, MLC's).The project will include system analysis and design, application software, computer hardware acquisition, and the associated peripherals to streamline and integrate the logistics functions within the Coast Guard. The specific objectives of the SAIL initiative are to : (1) implement major improvements to the organization and business practices of the Coast Guard logistics system which includes supply support and engineering maintenance; (2) integrate Configuration Management information into supply and maintenance information systems; (3) define the required data communications, processing capacity, and software required for logistics support and management control; and (4) electronically connect all participants in CG logistics, including Headquarters (HQ), Maintenance and Logistics Commands (MLCs), Supply Centers (SUPCENs) and units.

Benefits: The Coast Guard invests more than $600 million each year in vessel logistics--parts, maintenance and personnel resources. The SAIL initiative will provide Coast Guard inventory managers state-of-the-art tools/concepts such as total asset visibility and vessel configuration management enabling them to manage Coast Guard resources in a more efficient/effective manner. With more timely and accurate/reliable information, inventory managers will be able to maintain allowances based on actual vice estimated consumption, as well as on accurate vessel configuration data, stocking the minimum amount of parts actually needed. In addition, with a state-of-the-art flexible automated support system, inventory managers will be able to eliminate excess or outdated stock, reducing investment in idle shelf stock. Location and procurement of required parts will be quicker, reducing the amount of maintenance time for vessels. Maintenance/equipment managers will have the tools to analyze trends in component and part failures which could result in less breakdowns and/or quicker repairs. Other benefits include improved management data to facilitate planning and decisions involving budgeting, acquisition, contracting and scheduling. Non-recurring cost savings are anticipated in inventory reductions.Cost avoidance is expected through increasing use of the Federal Stock System vice higher cost commercial procurements. Cost avoidance is also expected in contract vessel maintenance through reduction of delays and additional charges resulting from inaccurate vessel information or government furnished parts.

Project Accomplishments: Completed efforts include the development of a Supply Center Information Systems Plan, Logistics Concept of Operations, Data Communications Technologies Overview, Conceptual Fleet Logistics System Architecture Draft Report, and the Fleet Logisitics System Training Framework.

DEPT OF TRANSP., USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SYSTEMS TO AUTOMATE AND INTEGRATE LOGISTICS (SAIL)	VARIOUS	6,600,000

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	0	0	0	0	0
PLANNED	4	0	0	0	4

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT($000)
AC&I - SAIL	1992	1,800
AC&I - SAIL	1993	6,200

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,600
ESTIMATED FUTURE COST NEXT 4 YEARS . THIS PROJECT	23,600
ESTIMATED FUTURE COST NEXT 4 YEARS . THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATE ($000)
1. Requirements analysis & software development	LS	---	6,270
2. Hardware deployment (Pilot System at SUPCENS)	LS	---	330
	TOTAL		6,600

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DEPT. OF TRANSP., USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE DEFENSE LOGISTICS (DL) MODERNIZATION	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,900,000

Reason for Request: To acquire system hardware and software to maintain and improve interface capabilities with DOD in support of critical logistics and catalog functions.

Description of Problem or Need: The Department of Defense (DOD) is modernizing/updating existing ADP logistics standard systems which support the Coast Guard (CG) and other government agencies (OGAs). In response to this modernization effort, the CG must reconfigure its hardware and software to maintain/improve the DOD interface for critical catalog/inventory/logistics functions. The CG must also provide for DOD interface capability for new initiatives (e.g. bar coding, FEDLOG) which will require the acquisition of hardware for CG operational units. OGAs support approximately 92% of CG requisitions utilizing the existing DOD system. Modernization of logistics systems, replacement of microfiche with FEDLOG, and implementation of bar coding place a mandatory phase-in responsibility on the CG to maintain this DOD interface. Bar coding hardware and software is required to allow the CG to use modern, state-of-the-art equipment for faster data entry of material shipped, received, placed into inventory, and registered as accountable property.

Description of Solution: Acquire bar coding hardware and develop applicable software for the Material Management System (MMS). Bar coding will interface with the MMS at both the Central and Unit Levels. Bar coding will be at supply centers, select cutters, and shore activities. The system will print and read bar code documents associated with material provided by DOD, CG, or commercial sources of supply. Receipt and issue of material actions by each using unit will be taken directly off the material or receipt document and then transfered into an inventory module or storage device for subsequent transmittal to the computer for processing, and for additional financial and material control transactions.

Benefits: Improved supply support to the fleet; availability of high quality, responsive and timely logistics support to operational units and their various support levels; elimination of manual processing of data; and uniform policies and procedures. Opportunity to standardize logistics systems within the CG while concurrently interfacing with DOD. Bar coding hardware will also integrate requisitioning, accounting and material management functions at the field level, to provide better management information to the command and central support organizations (e.g., Supply Centers, Finance Center).

Project Accomplishments: Design and development has begun on central and unit level requisitioning systems to be compatible with new DOD formats (MODELS 2.0). During FY93, begun to acquire Federal Logistics Data (FEDLOG) on Compact Disc-Read Only Memory (CD-ROM) platters and the equipment to read them. Bar code interface software development for shipboard maintenance and inventory modules.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NOT APPLICABLE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Defense Logistics (DL) Modernization Software	1993	3,900

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	3,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	ESTIMATE QTY	COST ($000)
1. MMS development, design and deployment	LS	---	2,325
2. Bar code equipment acquisition and deployment	EA	262	1,575
	TOTAL		3,900

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE DIFFERENTIAL GLOBAL POSITIONING SYSTEM (DGPS)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED 6,600,000

Reason for Request: To implement a nationwide Differential Global Positioning System (DGPS) navigation system to enhance maritime safety within harbor and harbor approaches (HHA).

Description of Problem or Need: The accuracy of existing and planned radionavigation systems is not sufficient for vessel navigation within HHA. LORAN-C accuracy is 500 meters. DoD's Global Positioning System (GPS) accuracy (available to the public) is 100 meters. The accuracy requirement for HHA navigation is defined as 8-20 meters. Technological advancements now permit the implementation of an affordable, more accurate version of GPS that promises precise HHA navigation; faster, more accurate buoy positioning; and increased ability to monitor vessel traffic movements.

Description of Solution: Install DGPS coastal reference sites and signal broadcast equipment. Transmit reliable, accurate corrections to existing GPS signals. Coast Guard personnel will control and monitor DGPS signals from existing radionavigation facilities. The system will provide service throughout the near coastal and Great Lakes waters of the U.S. and Puerto Rico, including areas of Alaska and Hawaii.

Benefits: Increased maritime safety. Improved Coast Guard effectiveness and productivity in the areas of vessel traffic monitoring, aids-to-navigation (ATON), ice operations, search and rescue, and mine countermeasures. Inherent improvement of overall GPS integrity. Allows all-weather ATON positioning in minutes rather than hours. Other Federal agencies (e.g. National Oceanographic and Atmospheric Administration and U.S. Army Corps of Engineers) will benefit from similar productivitiy improvements and cost reductions.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	3	4	8	2	17
PLANNED	7	5	37	2	51

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
AC&I (Prototype beacon upgrades)	1992	1,600
AC&I (Receivers, Controllers, ect.)	1993	6,200

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	DGPS Reference Receivers/Controllers	LS	---	2,600
2.	DGPS Frequency Standards	LS	---	400
3.	Control Center Hardware	LS	---	700
4.	Establish/Upgrade Multi-Shift Key (MSK) Transmitters	LS	---	600
5.	Communications Hardware	LS	---	1,000
6.	Installation Equipment	LS	---	900
7.	Land Line Installations	LS	---	400
	TOTAL			6,600

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
BUOY REPLENISHMENT PROJECT	VARIOUS	$1,000,000

Reason for Request: To replenish depleted buoy and mooring inventories. This request will continue the program for the West Coast Districts and primarily the First and Seventh Districts on the East Coast.

Description of Problem or Need: Increased buoyage requirements on the Mississippi and Missouri Rivers have created a shortage in inventories of large (3'-9' diameter) buoys. Eight percent of the large buoys in service are beyond their 20-year service life, and there is a shortage of spares. Extreme low water conditions in 1988 and 1989 along with rapidly fluctuating water levels in 1990 required the addition of 2,000 more river buoy stations and buoy loss rates increased over 100%. Funds needed for ocean buoy replacement were drawn down to buy additional buoys needed because of the river conditions. Procurements of new large buoys were limited primarily to replacing lost buoys or those that could not be repaired at any cost. Failure to maintain inventory levels will result in obsolete buoys in service that are expensive to repair and buoys on station whose operational capabilities are below that required, increasing risks for transiting vessels.

Description of Solution: Replace damaged buoys and rebuild buoy and mooring inventories.

Benefits: Continue adequate marking of U. S. waters, thus reducing potential for life-threatening and costly accidents,. and facilitating marine transportation.

Project Accomplishments: FY92 funding procured buoys to increase inventory of river buoys for the Second Coast Guard District ($1.0M) and ocean buoys ($1.0M). FY93 funding provided funds to begin replacement of obsolete ocean buoys.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NOT APPLICABLE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
BUOY REPLENISHMENT	1992	2,000
BUOY REPLENISHMENT	1993	2,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Increase ocean buoy spares	EA	100	1,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE COMMUNICATION STATIONS (COMMSTAs) AUTOMATION - PHASE III	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $2,000,000

Reason for Request: This is the final phase of a three-phase project to improve and expand methods for distributing safety and navigation information to the merchant vessel operators and recreational boaters. Phase III funding will be used to complete installation at COMMSTA New Orleans, LA and fully fund equipment procurement and installation at COMMSTA Honolulu, HI.

Description of Problem or Need: Each Coast Guard COMMSTA has unique manual control systems for radio transmitters, receivers and antennas. Automated access to antennas and transmitters is not available to the operators , and central control of remote receivers is not possible. There is no ability to share Radio Frequency (RF) resources among COMMSTAs. Existing manual processes preclude efficient use of COMMSTA assets to support communications requirements. Existing systems are obsolete and many repair/replacement parts are no longer manufactured. Delivery of maritime safety broadcasts is labor intensive and time consuming, requiring manual intervention at multiple points in the process.

Description of Solution: COMMSTA automation provides remote control of transmitters, receivers and antennas at each operating position. This protect the ability for COMMSTAs or other units (i.e. Groups) to share transmitters and receivers, and provides the means to automate maritime safety broadcasts, improve reliability, speed and add broadcast capabilities that will be required for compliance with Global Maritime Distress and Safety System (GMDSS) standards. GMDSS includes requirements for implementation of the following broadcasts:

a. SITOR (Simplex Teletype Over Radio) which replaces safety and navigation broadcasts over high frequency continuous wave (morse code) circuits, and

b. NAVTEX (Navigational Information by Telex) which replaces navigation and safety broadcasts over medium frequency continuous wave circuits.

Benefits: Improved radio circuit performance, information processing and, reliability. Expanded access to RF assets among COMMSTAs. Increased ability to handle more vessels (particularly patrol boats) and aircraft as missions and number of cutters/aircraft using High Frequency (HF) expand. Improved Command and Control of deployed forces. Decreased inventory of nonstandard equipment; improved maintenance; decreased on-the-job training burden. Broadcast capabilities required for GMDSS communications.

Project Accomplishments: Phase I funded site surveys at CAMSLANT Chesapeak, VA CAMSPAC San Francisco, CA and COMMSTA Kodiak, AK. Automation equipment was procured and installations begun at CAMSLANT Chesapeake and COMMSTA Kodiak. Phase II provided funds for site surveys at COMMSTA New Orleans, LA and COMMSTA Honolulu, HI. Automation equipment installations will begin at CAMSPAC San Francisco, and COMMSTA New Orleans in Phase II of this project.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT$000)
COMMSTAs Automation Phase I (CAMSLANT, KODIAK)	1992	3,200
COMMSTAs Automation PHASE II (CAMSPAC, New Orleans)	1993	2,800

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	----
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

DEPT. OF TRANSP. USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE COMMUNICATION STATIONS (COMMSTAs) AUTOMATION - PHASE III CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. COMMSTA Honolulu Hardware/Software Modifications..	LS	---	240
2. COMMSTA Honolulu/New Orleans Installations.............	EA	02	1,760
	TOTAL		2,000

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DEPT. OF TRANSP., USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE RESOURCE INFORMATION SYSTEM (KRIS) FOR HEALTH SERVICES PROGRAM		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,200,000

Reason for Request: To improve resource management and health care delivery through development and installation of a fully integrated data collection and analysis system.

Description of problem or need: The existing Office of Health and Safety resource information system(KRIS) is inadequate to meet the short and long range information needs of the Health and Safety Program. Existing information systems do not permit the Coast Guard to: track and monitor all health care costs; implement standardized clinic management programs; monitor medical readiness and the operation of health care facilities; and share data between the Coast Guard and DoD. The Health and Safety Program continues to manage a $150+ million health care delivery system with inadequate oversight and control. Data collections and data calculations are manually maintained at most units.

Description of solution: Develop a KRIS which will collect and manage data, convert and integrate dissimilar information, and create a centralized database for administrators and planners. The planned information network will reach all levels of command to provide timely medical, safety and environmental information to managers and beneficiaries.

Benefits: KRIS is a decision support tool which provides on-line access to data on all health care resources, including financial matters, facilities, and personnel and beneficiary demographics. This information is essential to basic program management and is a critical element to the success of Coast Guard efforts to control the rate of growth within the health care program. KRIS will also provide improved access to safety and environmental health information.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF WRNT ENL CIV TOTAL
CURRENT	NOT APPLICABLE
PLANNED	NOT APPLICABLE

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Management Information System (MIS) For Health Services Program	1993	1,300

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	1,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Advanced Network Capabilities	LS	---	100
2. Beneficiary Access System	LS	---	150
3. Clinic Automated Management System	LS	---	950
4. Managed Care System	LS	---	500
5. Managed Safety System	LS	---	250
6. Resource Information System	LS	---	1,250
		TOTAL	3,200

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
PERSONNEL MANAGEMENT INFORMATION SYSTEM/ JOINT UNIFORM MILITARY PAY SYSTEM II PHASE III	WASHINGTON, DC	$1,200,000

Reason for Request: To re-engineer Personnel Management Information System/Joint Uniform Military Pay System (PMIS/JUMPS) software. Phase III will develop a "root" data system for all military personnel functions, with sufficient code conversion to terminate the current PMIS/JUMPS system in FY97.

Description of Problem or Need: The PMIS/JUMPS software, initially developed in 1970, has reached the technical saturation point with repeated modifications to accommodate both entitlement and personnel policy changes. The Coast Guard is concerned about the complexity and increasing lead-times required to implement changes. The merging of mobilization requirements into the system caused PMIS/JUMPS to become even more complex. Reserve and retired pay still remain as separate systems. The incorporation of all pay and personnel tracking of CG military personnel into PMIS/JUMPS is a strategic goal that will reduce multiple system maintenance structures, enhance mobilization posture, and reduce processing costs.

Description of Solution: Develop an integrated personnel database and payroll delivery system for active duty, retired, and reserve personnel using existing technology and proven software engineering techniques. Phase I: Perform the requirements analysis, develop a data model for a centralized pay and personnel administration database and develop alternative system designs. Phase II: Choose the design an alternative that is most efficient and cost effective over the software life cycle. Program, implement and test PMIS/JUMPS II.

Benefits: The PMIS/JUMPS II software will replace many older and inefficient, COBOL programs. The new programs will utilize relational database technology and structured software engineering techniques, thereby making software maintenance significantly faster and more responsive to changing requirements. Software maintenance efforts will be significantly lower due to the compression of the number of lines of code by 25%, and the integration of three separate personnel and payroll systems into a single system. Life cycle costs in the future will be for only one system instead of several hardware and software systems. Key features of PMIS/JUMPS II include fully integrated pay and personnel support for active, reserve, and retired personnel, and annuitants of deceased Coast Guard members; a separations database; electronically generated statements of creditable service used by numerous state and federal agencies; greater responsiveness to pay and personnel data requests from Congress and the public; and automation of several other currently manual, labor intensive functions.

Project Accomplishments: Phase I (funded in FY92) will provide improved data entry software for 86 Personnel Reporting Units by third quarter FY94. An initial prototype of this software is currently nearing completion. Phase II (incrementally funded in FY92 and FY93) will produce detailed plans for streamlined business processes and the information systems needed to implement them.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	NO CHANGE				
PLANNED..					

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
PMIS/JUMPS II Phase I..	1992	2,700
PMIS/JUMPS II Phase II...	1993	1,600

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT...............	----
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY................	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Redesign of PMIS/JUMPS software Phase III.................	LS	---	1,200

DEPT OF TRANSP. USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
VESSEL TRAFFIC SERVICES (VTS) 2000	VARIOUS	$27,600,000

Reason for Request: To continue acquisition of Vessel Traffic Service (VTS) systems in the ports of New Orleans, LA, Los Angeles/Long Beach, CA, and Port Arthur, TX. To begin survey, design and site acquisition for VTS 2000 systems in the ports of Mobile, AL, and Corpus Christi, TX.

Description of Problem or Need: The Congress directed that the Coast Guard study the need for expanding Vessel Traffic Services nationwide and report the findings along with a plan for implementing the results of the study. The Port Needs Study was released in March 1992. Positive net benefit ports, those ports which have a high risk of damage resulting from collisions and/or groundings, are the first parts to be implemented.

Description of Solution: Continue to acquire new Vessel Traffic Services in the high priority ports of New Orleans, LA, Los Angeles/Long Beach, CA, and Port Arthur, TX. Provide funding to establish new VTS systems in the high priority ports of Mobile, AL, and Corpus Christi, TX. VTS 2000 will provide a modern, state-of-the-market system needed to provide information to the mariner for the safe navigation of vessels. This system will provide surveillance of critical areas of the port to reduce the risk of collisions, rammings, and groundings which could result in property loss, environmental damage and loss of life.

Benefits: Provides critical information in a timely fashion to manners and increases protection of the marine environments. Provides sensor surveillance of areas well documented as suffering from traffic congestion and/or frequent periods of reduced visibility. The Port Needs Study indicates that a high percentage of all collisions, rammings, and groundings could be prevented by VTS systems in these ports.

Project Accomplishments:
a. MAR 92: Completed Port Needs Study.
b. MAY 92: Approved Mission Needs Statement.
c. JUL 92: Initiated Concept Exploration phase.
d. SPRING 93: Anticipate award of Systems Engineering contract.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	*				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
VTS New Orleans 2000	1993	9,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	27,600
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	131,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

DEPT OF TRANSP., USCG, CGHQ–4265 (REV 6–90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE VESSEL TRAFFIC SERVICES (VTS) 2000 CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $27,600,000

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Contract Support	LS	----	5,000
2. Survey and Design	LS	----	1,000
3. Equipment for: Los Angeles/Long Beach Port Authur New Orleans Mobile Corpus Christi	LS	----	21,600
	TOTAL		27,600

* Actual billet requirements for each VTC is dependent on facility size/workload and will be developed following design approval.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE VESSEL TRAFFIC SERVICE (VTS) UPGRADE AND EXPANSION PROJECT	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $4,400,000

Reason for Request: To complete Vessel Traffic Center (VTC) Upgrades and Expansions in New York, Puget Sound and San Francisco.

Description of Problem or Need: The request provides for unanticipated equipment needs and facility enhancements required to implement the VTC upgrades in New York, Puget Sound and San Francisco. Upgrades in Puget Sound and San Francisco will be installed as parallel operations to prevent loss of service to the mariner. Higher installation and labor costs will accrue, but continuous service to customers will be ensured. Substantial cost increases resulted from increased labor charges for software and equipment installations. Specialized video equipment is required due to a FCC restriction on using additional microwave links for transmission of signal and picture signals. This unanticipated development requires purchase of special video compression equipment to improve the overall signal quality to a usable level by the VTC operator. Though use of standard telephone lines is slightly less expensive, the cost of this specialized video equipment greatly increases the cost of installation.

Description of Solution: Provide funding required for equipment and labor to complete the VTC upgrade and expansion projects.

Benefits: Increased protection of the marine environment. Pertinent information provided to the mariners will be more accurate and timely to better plan transits and avoid accidents.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT			NO CHANGE		
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
VTS Puget Sound/Tacoma Expansion	1990	4,000
VTS New York – Phase II	1991	6,900
VTS New York – Phase III	1992	4,300
VTS Puget Sound	1992	2,000
VTS San Francisco – Phase I	1992	2,900
VTS San Francisco – Phase II	1993	2,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,400
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Software Development/Installation Labor	LS	----	1,300
2. Closed-Circuit Television (CCTV) Equipment	LS	----	1,500
3. VTC Equipment/Spares	LS	----	1,600
		TOTAL	4,400

NOTE: The 1989 Dire Emergency Supplemental provided OE funds for Phase I which included construction and operation of VTS New York in the amount of $5.6M.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE **MARINE INFORMATION FOR SAFETY AND LAW ENFORCEMENT (MISLE)**	NEAREST CITY & CONGRESSIONAL DISTRICT **VARIOUS**	AMOUNT REQUESTED **$5,300,000**

Reason for Request: Provide replacement systems for the Marine Safety Information System (MSIS) and the Law Enforcement Information System (LEIS). Satisfy the legislative mandate of Public Law 100-710 which requires the establishment of a nationwide vessel identification system and the modernization of maritime commercial instruments and liens processing. Systems are necessary to meet the Office of Marine Safety, Security, and Environmental Protection's and Law Enforcement Program's information needs, including legislative mandates. This request combines former Marine Safety Network (MSN), Vessel Identification and Documentation System (VIDS) and Law Enforcement Information System II (LEIS II) requests under one major acquisition project, MISLE.

Description of Problem or Need: MSIS hardware and software are technically obsolete, increasingly difficult to maintain, and will be unable to provide the software applications necessary to support the missions of the Office of Marine Safety, Security, and Environmental Protection throughout the 1990's.VIDS must be developed since there are no existing systems that can satisfy the requirements of PL 100-710. LEIS II will be integrated with MSN and VIDS to provide cross-functional support to the Coast Guard and other State and Federal law enforcement agencies. Standardization is needed to allow data sharing and eliminate multiple data entry.

Description of Solution: The transition from MSIS to MSN and VIDS will occur over a period of 6 years. MSIS hardware will be replaced with hardware that runs a standard POSIX operating system and an off the shelf Database Management System (DBMS). Existing MSIS applications will be replaced with software applications using standard programming languages and software development tools. The new architecture will use the AFCAC 300 minicomputer as central site server and the USCG Standard Workstation for data entry and local processing. The vessel documentation functions currently supported by MSIS will be developed in VIDS to meet the requirements of PL 100-710. MSN, VIDS, and LEIS II will be interconnected with each other and utilize common databases. VIDS will also connect with state vessel titling, registration and law enforcement computer systems.

Benefits: Satisfies the mandates of PL 100-710. Provides cross-functionality and information system standardization through a single competitively awarded software development contract. Networking allows exchange of law enforcement information with federal, state and local law enforcement officials. Stolen boats will be recovered more easily, deterring future thefts. Preferred mortgage status will become available to state titled vessels thereby reducing insurance costs for boat owners. Better designed and integrated software applications will improve mission effectiveness and efficiency, increase reliability, significantly reduce system response time and eliminate redundant data entry. The systems will support more than 5,000 Coast Guard users at over 135 sites across the nation as well as state vessel registration and law enforcement agencies, commercial banks and the public. Wide access to management information by Coast Guard and other Government agencies will improve marine safety and law enforcement missions and enhance the civil penalty process.

Project Accomplishments: The MISLE Acquisition Plan was approved in September 1992. Request for Comments (RFC) from industry was issued on October 1992.Comments have been received and are under review. Two modules of the Marine Safety Network (MSN) and the first two phases of the Law Enforcement System II (LEIS II) are in development, under existing contracts.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING (NON-AC&I)

OFF	WRNT	ENL	CIV	TOTAL
NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Law Enforcement Information System II	1991	1,800
Law Enforcement Information System II	1992	2,300
Marine Safety Information System Replacement (MSIS II)	1991	2,500
Marine Safety Network (MSN) (formerly MSIS II)	1992	3,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	19,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE MARINE INFORMATION FOR SAFETY AND LAW ENFORCEMENT (MISLE) CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. MSN Software Requirements Analysis and Design	LS	---	691
2. MSN Hardware and Systems Software Acquisition	LS	---	309
3. VIDS Equipment and Software	LS	---	3,150
4. VIDS Data Conversion	LS	---	114
5. VIDS Communications Network	LS	---	681
6. VIDS Initial Training	LS	---	15
7. LEIS II Integration	LS	---	340
TOTAL			5,300

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE CONVERSION OF APPLICATIONS SOFTWARE, PHASE I	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $2,000,000

Reason for Request: To convert Coast Guard developed mission-critical software applications from the current proprietary environment to a Federal standards based Open Systems Environment.

Description of Problem or Need: The Coast Guard (CG) has more than fifty in-house developed applications running on the Coast Guard Standard Workstation (CGSWII). The CG must move to the new federally mandated Open Systems Environment (OSE) on its next Standard Workstation contract (CGSWIII) which is planned to be awarded in late FY 1995 or early FY 1996. Consequently, most of the existing CG-developed applications must be reprogrammed to be in compliance with the National Institute of Standards and Technology's (NIST) Application Portability Profile (APP).

Description of Solution: Current mission-critical software applications were designed for the existing CGSWII proprietary computing environment. To operate on CGSWIII and future OSE compliant computers, these applications must be reprogrammed in accordance with the NIST APP. Because of their multi-mission tasking, Coast Guard units run a wide variety of CG-developed applications at any site. During FY94, the Coast Guard will complete software conversion prototyping on three or more selected applications. The prototyping efforts will convert selected applications via use of Computer Assisted Systems Engineering (CASE) development tools concentrating on code generation. These prototype efforts will validate and refine our application software development and graphical user interface standards and conversion processes. These standards will comply with existing Federal Open Systems standards and will be updated as new Federal standards are approved.

Benefits: GSA is limiting workstation contracts to three to five years. CGSWIII has a maximum contract life of five years. Converted applications will run on new and existing workstations reducing end user training requirements. Conversion of applications to a Federal standard based OSE will avoid large out year conversion costs on future contracts while maximizing the useful life of existing CGSWII equipment.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	0	0	0	0	0
PLANNED	2	0	2	0	4

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
New Project		

SUMMARY ($25,000)

AMOUNT THIS REQUEST	2,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	23,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Software Conversion	LS		1,700
2. Computer Aided Software Engineering	LS		100
3. Software Development/Standards Development	LS		200
	TOTAL		2,000

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV 6-90)
(PF G-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE VESSEL TRAFFIC SERVICES- EQUIPMENT REPLACEMENT PROJECTS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,000,000

Reason for Request: To provide funding for replacement of equipment at the eight existing Vessel Traffic Service (VTS) Systems.*

Description of Problem or Need: VTSs use a complex suite of electronic components to perform surveillance, communications, and recording functions. This equipment is in constant use. Coast Guard VTS's date back to 1972 and maintenance records demonstrate the useful life of VTS hardware to be 7 to 10 years. Beyond this point it becomes unreliable and expensive to maintain. Planned replacements ensure the reliable operation of the VTSs and will eliminate system failures.

Description of Solution: Provide funding for routine VTS equipment replacement at existing VTSs. The Coast Guard intends to systematically replace equipment from a $25,000,000 backlog over the next ten years. Funding of this request would enable the program manager to replace subsystems and standardized components based on a planned schedule. Although unplanned failures may require reprioritization of specific projects, the following items would be replaced with FY94 funds: VTS Berwick Bay (voice recorder/audio logging system), VTS Houston Galveston (radar), VTS Puget Sound (radar), VTS Sault Ste. Marie (microwave link, CCTV, voice recorder/audio logging system), VTS Prince William Sound (radars).

Benefits: Implementing this proposal will enable the program to maintain its 99.99% on-air availability standard. It will foster the ability to develop and institute standardized equipment suites and eliminate the current practice of maintaining an inventory of several one-of-a-kind systems. It will enable a systematic approach to equipment replacement based on a prioritized backlog and reduce the need to respond to catastrophic system failures.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT($000)
VTS Recurring Equipment Replacement	1992	2,250

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	12,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. VTS Recurring Equipment Replacements	LS	---	3,000

*In FY92, a Coast Guard request for OE funding for this item was converted at Congressional direction to an AC&I request. This request is consistent with Congressional direction.

FISCAL YEAR	
1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
MINOR AC&I AUTOMATED INFORMATION SYSTEM (AIS) PROJECTS	VARIOUS	$1,900,000

Reason for Request: To provide funds for small, Acquisition, Construction, and Improvements (AC&I) Automated Information System (AIS) projects. These projects are less complex and require less advance planning than their major AC&I counterparts.

Description of Problem or Need: The Coast Guard uses some information systems that were developed using computer programs which are now technically obsolete, inefficient and saturated with data. These systems were not designed to share data and the result has been the creation of information systems that use the same data independently of each other. This requires multiple entries of the same data and precludes cross-program use and analysis of similar data.

Description of Solution: Rewrite existing systems using current technology software programming techniques that will:
- a. reduce the number of lines of program code,
- b. reduce the effort required for data entry and transfer,
- c. provide the capability to share information, and
- d. facilitate future expansion and change.

The overall cost for any particular minor AC&I AIS project is less than one million dollars.

Benefits: All systems included in this request support operational or administrative tasks that were identified in the Coast Guard's Strategic Information Resources Management Plan. Taking advantage of current technology to re-engineer existing systems will promote cross-functional sharing of information, eliminate redundant data entries, and reduce the cost of using the existing systems.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	10,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. MINOR AC&I AIS projects	LS	---	1,900

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SURVEY & DESIGN OF VARIOUS SHORE PROJECTS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $13,000,000

Reason for Request: To ensure efficient and effective execution of shore construction projects in future years through advance surveys, design, and planning in 1994. The projects for which this preliminary work must be accomplished are part of the long range plans for the Coast Guard Shore Facility program.

Description of Problem or Need: Survey and design funds are required to plan effective shore construction projects and to ensure timely accomplishment of projects consistent with the year in which funds are appropriated.

Description of Solution: Provide funds for advance engineering and environmental studies, the design of future projects and additional contractual architectural/engineering efforts to supplement in-house capability. Funds will also be used for site surveys, options, and the purchase of real property to ensure availability for future construction.

Benefits: This project provides necessary land, studies, surveys, plans, and designs to maximize timely and effective use of Acquisition, Construction, and Improvements funds when appropriated, and provides the additional architectural/engineering, project, and financial management efforts to supplement in-house capability.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Survey and Design of Various Facilities	1990	3,290
Survey and Design of Various Facilities	1991	5,400
Survey and Design of Various Facilities	1992	8,050
Survey and Design of Various Facilities	1993	10,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	13,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	80,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Survey and Design of Various Facilities	LS	---	12,000
2. Master Plan Development	LS	---	1,000
	TOTAL		13,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE MINOR AC&I SHORE CONSTRUCTION PROJECTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $8,000,000

Reason for Request: To provide continuing funds for small, but necessary, Acquisition, Construction, and Improvements (AC&I) shore facility projects.

Description of Problem or Need: Various shore facilities and capital plant actions are involved. Typical problems include substandard, deteriorating, and overcrowded or functionally inadequate facilities.

Description of Solution: The following represents the type of projects to be accomplished under this program:

a. Contruct new facilities to provide for added mission requirements.
b. Renovate existing facilities to improve quality of life.
c. Modify existing facilities to meet changing mission requirements.
d. Replace deteriorating facilities which are beyond their intended useful life.

The overall cost for any particular minor AC&I project is between $200,000 and $900,000.

Benefits: The Minor AC&I program is an efficient and effective method of responding to field commanders' needs to accomplish relatively small, less complex shore facility projects, before circumstances require more costly solutions. These projects typically do not involve extensive planning and are relatively easy to execute. The program encourages units to scale back projects and pursue least cost alternatives. In return, projects are accomplished more quickly, before additional deterioration or facility requirements involve a more costly and extensive design and construction effort. Continued funding ith other government agencies and/or renovation of existing housing will continue, including demolition of deteriorated/inadequate units.
Ben

fits: ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Minor AC&I Shore Construction	1989	6,300
Minor AC&I Shore Construction	1990	7,478
Minor AC&I Shore Construction	1991	7,685
Minor AC&I Shore Construction	1992	10,000
Minor AC&I Shore Construction	1993	8,600

SUMMARY ($000)

AMOUNT OF THIS REQUEST	8,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	40,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Minor AC&I Projects	LS	---	8,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
AQUADILLA, PR - AIR STATION BORINQUEN DRIVE THROUGH RINSE RACK/FUEL FARM	AQUADILLA, PR - 1ST	$6,300,000

Reason for request: To provide an effective method of rinsing C-130 aircraft with an aqueous salt-neutralizing solution after daily prolonged low altitude oceanic patrol flights. To replace the existing fuel farm.

Description of problem or need: Three C-130 aircraft were relocated to Air Station Borinquen in September 1987. A drive through rinse rack does not exist at the air station. C-130 aircraft currently operate in a very corrosive environment without an efficient means of aircraft rinsing. The existing fuel system has inadequate storage capacity and fuel flow rate, is unreliable due to electrical problems, and the WWII vintage storage tanks are in poor condition and prone to leaks which create environmental problems.

Description of solution: Construct C-130 drive through rinse rack and a fuel farm at Air Station Borinquen. The two project elements are combined into a single project to coordinate siting that is restricted by existing contamination, FAA required safety setbacks and other safety restrictions. Demolish and reconstruct storage buildings at a different location to accommodate the rinse rack/fuel farm project.

Benefits: A drive through rinse rack is an effective and efficient method for minimizing corrosion in tropical marine environments. This project will preserve the service life of the C-130 aircraft operating at Air Station Borinquen. A new fuel farm will provide adequate fuel storage and fuel flow rate to support C-130 and HH-65A operations.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	32	4	148	20	204
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	----
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	5,800

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Drive Through Rinse Rack	LS	---	1,610
2. New Fuel Farm	LS	---	2,990
3. Control/Generator Building	SF	1,053	180
4. Relocate Storage Buildings	SF	13,600	660
5. Demolition	LS	---	310
6. Sitework	LS	---	270
7. Exterior Utilities	LS	---	200
8. Outfitting/Equipment/Electronics	LS	---	80
TOTAL			6,300

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE AIR STATION MIAMI UPGRADE – PHASE II	NEAREST CITY & CONGRESSIONAL DISTRICT MIAMI, FL – 17TH	AMOUNT REQUESTED $8,200,000

Reason for request: To continue a multiple phase project to construct, renovate and expand existing shore facilities at Coast Guard Air Station Miami to support the new and technologically advanced aircraft that are operated from the southeast United States.

Description of problem or need: The Coast Guard does not have adequate aviation shore facilities to accommodate the additional aircraft relocated to the southeast United States to meet new and expanded Coast Guard air interdiction mission requirements. Air Station Miami requires substantial modifications and expansions to support the additional maintenance, operations, and logistics necessary to accomplish assigned missions.

Description of solution: This phase of the Air station Miami Expansion project will provide a new rotary wing hangar and shop spaces at Air Station Miami. Subsequent phases will include renovation of the existing hangar and shops for the fixed wing aircraft and a new administration building and gymnasium.

Benefits: The Coast Guard will be able to operate and maintain its aircraft more efficiently by providing adequate maintenance and support facilities for assigned personnel.

Project Accomplishments: Air Station Miami Phase I funds were provided in FY93 for the construction of a fuel farm and rinse rack. The fuel farm and rinse rack are under design; the construction contract will be awarded in FY93. Also in FY93, funds were provided for a foam deluge fire protection system. The foam deluge system is being designed.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	81	06	262	02	351
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Miami (SEUS) Air Station Phase I Facility Upgrade (Fuel Farm, Rinse Rack and Foam Deluge System)	93	8,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	8,200
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	11,300

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Sitework	LS	----	570
2. Utilities	LS	----	670
3. Construct New Hangar...	SF	84,250	6,400
4. Outfitting	LS	----	420
5. Electronics	LS	----	140
	TOTAL		8,200

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE AIR STATION SITKA- AIDS TO NAVIGATION TEAM SUPPORT BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT SITKA, AK - 1ST	AMOUNT REQUESTED $3,000,000

Reason for request: To provide a shipping and receiving facility for Air Station Sitka.

Description of problem or need: The Aids to Navigation Team (ANT) was forced to move from the building it leased at Sitka Airport when the lease was terminated in 1992. There are no suitable alternative buildings to lease and there is no existing space available at Air Station Sitka. In addition, the Air Station's shipping and receiving building does not have loading platforms which increases the time, complexity and safety risks of loading and unloading operations.

Description of solution: Construct a new building at Air Station Sitka for the Aids to Navigation Team and Air Station Sitka shipping and receiving operations.

Benefits: Provides basic shelter for the Aids to Navigation Team. Loading platforms will make Air Station Sitka shipping and receiving more efficient and safer.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	18	03	118	03	142*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition and Sitework	LS	---	500
2. Utilities	LS	---	150
3. Buildings	SF	12,000	2,100
4. Outfitting	LS	---	250
	TOTAL		3,000

*** Staffing includes 11 enlisted ANT billets.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE SUPPORT CENTER SAN PEDRO–MEDICAL/DENTAL BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT SAN PEDRO, CA - 32	AMOUNT REQUESTED $4,500,000

Reason for request: To replace inadequate building space with new space for the San Pedro medical/dental clinic and provide outfitting for FY93 funded Phase I improvements.

Description of problem or need: The Support Center San Pedro medical/dental clinic is currently located in building 20, a 17,661 square feet dilapidated building which also houses administrative office space and barracks space. Because insufficient space is available in building 20, overflow space for medical/dental functions is provided in 2,940 square feet of temporary facilities. Building 20 is a stucco coated wood frame building constructed in 1951 that cannot be economically renovated. Replacement facilities are needed. Construction of new administrative and barracks spaces is included in an earlier phase San Pedro building replacement project. Outfitting funds for FY93 improvement were deferred from the approved FY93 budget.

Description of solution: Replace existing space with a new medical/dental clinic building.

Benefits: This project will provide modem facilities for the San Pedro medical clinic, which services 477 military personnel assigned to the Support Center and tenant commands, 107 military personnel assigned to Group/Marine Safety Office Los Angeles/Long Beach, and 200 military personnel assigned to the 11th District office. In addition to the military population, the clinic services dependent and military retired personnel.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	7	1	56	11	75*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Replace Main Building	1993	8,720

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	-----
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	1,500

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS		140
2. Sitework	LS		500
3. Exterior Utilities	LS		200
4. Building Construction	SF	10,800	1,910
5. Outfitting			
Medical/Dental Building	LS		600
Admin/BEQ (Phase I)	LS		510
Mess/GAlley (Phase I)	LS		400
Station Los Angeles	LS		190
6. Electronics	LS		50
TOTAL			4,500

* Personnel allowance Is for Support Center only.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
COAST GUARD YARD CURTIS BAY– SHIP HANDLING FACILITY – PHASE I	BALTIMORE, MD – 3RD	$5,000,000

Reason for request: To replace two aging drydocks with a modem system for removing vessels from the water.

Description of problem or need: The Yard has a 1,000 ton drydock and a 3,000 ton drydock to remove vessels from the water for underbody work. Both drydocks are over 45 years old and require extensive maintenance. Downtime for maintenance is excessive and increasing. The drydocks represent obsolete technology and maintenance can no longer guarantee prevention of catastrophic failure. Only the 3,000 ton drydock can lift a fully loaded 210 Medium Endurance Cutter (WMEC) and neither drydock can lift a 378' High Endurance Cutter (WHEC).

Description of solution: The replacement system will consist of a ship lift and transfer system that can lift a vessel out of the water via an "elevator" type platform, then transfer the vessel via a railway onto land. The ship lift will be able to berth up to 4 vessels on land, depending on size. The lift and transfer system will represent simple and proven technology, maintaining the Yard's drydocking capabilities well into the 21st century. Phase I will purchase the ship lift and transfer equipment. Phase II will complete all associated sitework, construction, and equipment installation.

Benefits: The replacement facility will restore the Yard's capabilities to drydock lightly–loaded 378' WHECs and fully–loaded 210' WMECs. Overall productivity will be significantly increased, and scheduling problems and maintenance cost will decrease. Modernization of the Yard's drydocking system will also result in increased safety. The replacement facility will move painting and blasting operations away from the waterfront, allowing the Yard's operations to meet new environmental regulations.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	21	14	107	638	780
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Replace Tower Crane #2	1991	3,800
Upgrade Mechanical Shops	1991	3,700
Relocate Supply Center Brooklyn Phase I	1992	1,100
Flammmable/Material Storage Building	1993	1,300

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	16,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	38,500

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Long Lead Time Material/Equipment	LS	---	5,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE SUPPORT CENTER KODIAK COMMUNITY CENTER	NEAREST CITY & CONGRESSIONAL DISTRICT KODIAK, AK – 1ST	AMOUNT REQUESTED $1,500,000

Reason for request: To provide a community center for assigned personnel and dependents.

Description of problem or need: No adequate building space exists on the Support Center to function as a community center. The population of 2500 military and dependents at Kodiak warrants a community building to serve as a youth center, and community meeting place. The harsh climate and limited daylight hours in winter limit outdoor activities. A community center is needed to foster a sense of community in the isolated area. Currently, building 321, a small, temporary, wood building built in 1943, serves as a teen center. This dilapidated building is scheduled to be demolished.

Description of solution: Construct a replacement building to provide a youth and community center for Coast Guard residents at Support Center Kodiak.

Benefits: This project will help improve the quality of life for families living in the isolated Kodiak environment. The government housing areas in Kodiak have traditionally lacked the infrastructure needed to create the relatively pleasant living atmosphere typical in the continental U.S. A new building will provide a much needed indoor community space to house various community and youth functions such as dinners, meetings, youth activities, dances and games.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	22	8	176	72	278*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Fire Station	1991	4,200
Ground Water Remediation Phase I	1991	2,000
Nemetz Park Roads and Grounds	1991	3,000
Ramp/Hangar II, Parking Paving	1991	2,700
Rec Center, Pool Addition	1992	4,400
Cutter Shoreside Storage Facility	1993	1,300
Renovate Gym/Physical Fitness Center	1993	3,265

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	71,300

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Sitework	LS	----	300
2. Exterior Utilities	LS	----	220
3. Building	SF	3,120	950
4. Outfitting/furnishing	LS	----	30
	TOTAL		1,500

*** Personnel allowance is for Support Center only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE SUPPORT CENTER KODIAK – COLD STORAGE FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT KODIAK, AK – 1ST	AMOUNT REQUESTED $4,600,000

Reason for Request: To replace the existing cold storage facility which services Support Center Kodiak's dining facility, commissary, convenience stores, homeported and visiting vessels, and outlying units such as Loran Stations which obtain logistical support from the Support Center.

Description of Problem or Need: The existing cold storage building was built in 1941. The installed refrigerator and freezer boxes are inadequate and unreliable. The structure requires significant repairs to conform to building safety, and food storage sanitation codes. Removal and disposal of asbestos and PCB materials is also required. Renovation is cost prohibitive because of the cost of providing temporary cold storage trailers during renovation. The isolated location of the Support Center requires uninterrupted, continued availability of cold storage.

Description of Solution: Construct a new building to provide continued vital cold storage facilities to the Support Center and units which receive logistical support from the Support Center. The existing cold storage facility will be preserved for future renovation to consolidate warehouse storage.

Benefits: This project provides a replacement cold storage facility to serve Support Center Kodiak's dining facility, commissary, and convenience stores; homeported and visiting vessels; and outlying units in Alaska which receive logistical support from Kodiak.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	22	8	176	72	278*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Fire Station	1991	4,200
Ground Water Remediation Phase I	1991	2,000
Nemetz Park Roads and Grounds	1991	3,000
Ramp/Hangar II, Parking Paving	1991	2,700
Rec Center, Pool Addition	1992	4,400
Cutter Shoreside Storage Facility	1993	1,300
Renovate Gym/Physical Fitness Center	1993	3,265

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,600
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	71,300

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	----	420
2. Sitework	LS	----	740
3. Exterior Utilities	LS	----	100
4. Building	SF	20,610	3,340
	TOTAL		4,600

*** Personnel allowance is for Support Center only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE SUPPORT CENTER SEATTLE- RECONSTRUCT PIER 37		NEAREST CITY & CONGRESSIONAL DISTRICT SEATTLE, WA - 2ND	AMOUNT REQUESTED $10,000,000

Reason for Request: To replace the existing deteriorated Pier 37 at Support Center Seattle with a new pier for continued use as a homeport pier for the Coast Guard's two polar icebreakers.

Description of Problem or Need: The existing timber Pier 37 at Support Center Seattle has deteriorated and can no longer provide a safe homeport berth for the two polar icebreakers. Over 60% of the supporting piles are deteriorated; pile caps, stringers, and timber decking are also significantly deteriorated. Load capacity is reduced in many areas affecting pier side maintenance and operations for the icebreakers.

Description of Solution: Replace the deteriorated timber pier with a concrete pier supported on concrete piles.

Benefits: The replacement pier will provide a safe berth for the Coast Guard's two polar icebreakers. The new pier will be more resistant to decay than the timber pier, and will be structurally sound to support all loadings required for existing pierside operations.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	10	2	46	16	74*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Repair Pier 36 Apron	1992	2,600

SUMMARY ($000)

AMOUNT OF THIS REQUEST	10,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	60,600

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	SF	47,000	1,270
2. Exterior Utilities	LS	---	740
3. Waterfront Construction	LS	---	7,320
4. Temporary vessel berthing	EA	2	670
	TOTAL		10,000

*** Personnel allowance is for Support Center only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE SUPPORT CENTER ELIZABETH CITY – REALIGN PERIMETER ROAD	NEAREST CITY & CONGRESSIONAL DISTRICT ELIZABETH CITY, NC – 1ST	AMOUNT REQUESTED $2,800,000

Reason for Request: To provide vehicle access route to Support Center facilities that complies with FAA and DoD airfield safety clearance requirements.

Description of Problem or Need: The existing primary vehicle access road to the Aircraft Repair and Supply Center facilities, Air Station facilities, and the Support Center barracks violates FAA and DoD airfield safety setback requirements. The road intersects active aircraft taxiways at five locations, comes within 200 feet of the center line of the main runway, and within 50 feet of aircraft refueling stations. The road also separates parking spaces from work spaces.

Description of Solution: Construct approximately 4000 linear feet of road aligned adjacent to the waterfront, including necessary shoreline revetment.

Benefits: This project will provide the required vehicle access routes while meeting airfield and roadway safety requirements.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	12	7	99	82	200
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Fuel Farm Clean Up	1989	2,500
Construct Dispensary	1991	3,200
HH-60J Maintenance Training Facility	1991	2,100

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,800
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	9,700

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	----	460
2. Road construction & shoreline revetment	LF	4,000	2,340
	TOTAL		2,800

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE PUBLIC FAMILY QUARTERS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $22,000,000

Reason for request: To provide adequate family housing in certain areas in the U.S. and its territories where the housing supply is insufficient or inadequate to meet the minimum requirements for assigned Coast Guard personnel. Coast Guard owned housing is acquired only where other alternatives are inadequate, not available, or not cost effective.

Description of problem or need: Coast Guard personnel serving in the locations named below and other similar locations in the U.S. and its territories, are found to lack sufficient, adequate community housing resources for rent or purchase by assigned personnel, or for Coast Guard lease. Adequacy criteria consider cost and suitability elements (size, bedrooms, condition) as well as commuting factors (time, distance, cost).

Description of solution: The projects listed below comprise the planned FY94 Public Family Housing Program. This program will provide 143 family housing units (47 through construction and 96 through acquisition from DoD) and related support facilities and renovation to 70 existing units. Final site selection, number of units constructed, number of units acquired from DoD, and related support facilities on those sites will depend on land acquisition, market conditions, negotiations with DoD, and progress in construction bidding. The Base Closure and Realignment Act requires that priority of sale of DoD property be given to any DoD agency, including the Coast Guard, willing to pay fair market value for the property. Currently, Coast Guard families occupy some of the DoD housing sites under a Memorandum of Understanding. Renovations to existing housing will protect the Coast Guard's housing investment and provide a safe environment for Coast Guard personnel.

Benefits: The additional housing and renovations to existing housing will reduce the number of Coast Guard personnel who are inadequately housed and improve the quality of life for Coast Guard personnel and their dependents.

Recent Accomplishments: GANTSEC PH I (funded in FY92) provided funds to construct 72 family housing units in San Juan, PR. This project is currently under construction. GANTSEC PH II (funded in FY93) provided funds to construct 40 additional housing units in San Juan, PR. Astoria PH I (funded in FY91) provided funds to construct 27 housing units in Astoria, OR. This project is currently under construction. Astoria PH II (funded in FY93) provided funds to construct an additional 55 housing units.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	---	61	82	143
PLANNED	---	---	67	92	*159

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct/purchase approx 106 units	1990	9,970
Construct/purchase approx 82 units	1991	15,300
Construct/purchase approx 157 units	1992	30,600
Construct/purchase approx 149 units	1993	25,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	22,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	120,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE PUBLIC FAMILY QUARTERS CONT'D	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. GANTSEC (San Juan), PR, PH III..	EA	**22	3,000
2. Acquire DoD Housing at 3 sites: Randolph, MA; Huli, MA; Manhattan Beach, NY..	EA	96	6,800
3. Group Astoria , OR, PH III..	EA	20	2,800
4. Petersburg, AK...	EA	05	1,200
5. SupCen New York Housing Renovation – Bldg 855........	EA	70	8,200
TOTAL			22,000

NOTES: * Personnel directly associated with operation and maintenance of housing.
**Remaining 15 units to complete this project to be funded from prior year family housing savings based on better than expected bids.

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE GROUP NORTH BEND – MEDICAL/DENTAL BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT NORTH BEND, OR – 4TH	AMOUNT REQUESTED $2,900,000

Reason for request: To replace inadequate building space for the medical/dental clinic with a new facility.

Description of problem or need: The Group/Air Station North Bend medical/dental facility , located in a hangar, was constructed in 1974 to support a three–helicopter air station with a complement of 77 personnel. Air Station North Bend has expanded to a five–helicopter operation with the establishment of Air Facility Newport , and the personnel complement at Group/Air Station North Bend has increased to 143 personnel. The existing medical/dental facilities are undersized and inadequate to support the personnel assigned.

Description of solution: Construct a Medical/Dental Building to serve personnel at Air Station and Group North Bend.

Benefits: This project will result in improved health care services to over 400 Coast Guard personnel and their dependents in the North Bend area. Functionally adequate facilities will permit the efficient day–to–day operation of the health care services provided. The new facility will relieve space within the hangar for operational functions.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	28	03	108	04	143
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Expand Air Station North Bend	1993	4,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,900
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	2,900

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	--	10
2. Sitework	LS	--	290
3. Exterior utilities	LS	--	160
4. Construction	SF	10,800	1,810
5. Outfitting	LS	--	600
6. Electronics	LS	--	30
	TOTAL		2,900

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE COMMUNICATIONS AREA MASTER STATION ATLANTIC- EXPAND TRANSMITTER BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT PORTSMOUTH, VA - 4TH	AMOUNT REQUESTED $4,400,000

Reason for request: Upgrade Communications Area Master Station, Atlantic (CAMSLANT) transmitter site to meet communications mission requirements.

Description of problem or need: Existing transmitter facility is inadequate to meet operational obligations with the installed communications equipment. Present operational missions require additional equipment to meet operational obligations, due to the coverage inadequacies caused by the closure of communications station San Juan in 1986.

Description of solution: Construct an addition to the existing building to house additional transmitting equipment that will provide the required communications coverage and Atlantic area overlap to meet operational requirements. The facility will house thirty total (twenty existing and ten new) medium and high frequency transmitters capable of meeting the overlapping communication coverage areas of all Atlantic Communications System coverage areas should any other station experience a catastrophic failure.

Benefits: Rapid and more reliable medium and long range communications services to support all eastern and southern Atlantic regions supporting Coast Guard missions carried out by cutters and aircraft, other government agencies, and members of the maritime public.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	2	2	83	2	89
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	----	10
2. Sitework	LS	----	40
3. Exterior Utilities	LS	----	50
4. Building (renovate and new addition)	SF	3,180	600
5. Equipment	LS	----	500
6. Electronics	LS	----	3,200
TOTAL			4,400

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE GROUP PORT ANGELES – MEDICAL/DENTAL BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT PORT ANGELES, WA – 2ND	AMOUNT REQUESTED $3,300,000

Reason for request: To replace an existing inadequate medical/dental facility.

Description of problem or need: The existing medical/dental building was originally built in the early 1940's as a temporary barracks. The facility is grossly undersized, has numerous safety deficiencies, and does not meet health and fire code requirements.

Description of solution: Replace existing space by constructing a new medical/dental building to serve personnel at Air Station and Group Port Angeles.

Benefits: This project will result in improved health care services to approximately 300 Coast Guard personnel, their dependents, and a large retired population in the Port Angeles area. Functionally adequate facilities will permit the efficient day-to-day operation of the health care services provided.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	18	02	84	04	108*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
None		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,300
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	10,600

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	----	180
2. Sitework	LS	----	470
3. Exterior utilities	LS	----	150
4. Construction	LS	10,800	1,840
5. Outfitting	LS	----	600
6. Electronics	LS	-----	60
	TOTAL		3,300

*** Personnel allowance is for Group/Air Station Port Angeles only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE STATION PROVINCETOWN– REPLACE WAVE BARRIER		NEAREST CITY & CONGRESSIONAL DISTRICT PROVINCETOWN, MA – 10TH	AMOUNT REQUESTED $1,300,000

Reason for request: To protect the station's small boat and patrol boat moorings from wave damage.

Description of problem or need: Frequent wave heights of four to eight feet force the station to move its exposed small boats to an alternate site, reducing their availability for operational missions. The existing wave barrier is ineffective, allowing a recently installed concrete pier to be damaged.

Description of solution: Replace the existing wave barrier and correct pier damage.

Benefits: Patrol boats and small boats will be protected from wave damage. The station's small boats will remain on site and available for operational missions.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	00	00	25	00	25
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Wave Barrier (Minor AC&I)	1987	430

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,300
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	---	50
2. Waterfront	LS	---	1,250
	TOTAL		1,300

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE NATCHEZ, MS – REPLACE MOORING FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT NATCHEZ, MS – 1ST	AMOUNT REQUESTED $3,100,000

Reason for Request: To provide adequate berthing, messing, storage, and work spaces for CGC GREENBRIER and assigned personnel.

Description of Problem or Need: The existing building at Natchez Moorings is in the flood plain of the Mississipi River and frequently suffers flood damage causing lost productivity. CGC GREENBRIER is an augmented unit that leaves crew members at homeport when the ship sails. Shoreside support spaces and berthing for unaccompanied personnel are inadequate. No other mooring facilities are available within Natchez's area of responsibility.

Description of Solution: Demolish the existing building and construct a new multi-purpose building on a flood free site.

Benefits: Eliminates facility flood damage and lost productivity. Provides berthing and messing for unaccompanied crew members.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	00	00	19	00	19
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,100
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	---	150
2. Sitework	LS	---	800
3. Utilities	LS	---	200
4. Waterfront	LS	---	700
5. Building	SF	10,500	1,000
6. Outfitting	LS	---	250
	TOTAL		3,100

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE TRAINING CENTER, CAPE MAY, NJ– ENLARGE CHILD DEVELOPMENT CENTER	NEAREST CITY & CONGRESSIONAL DISTRICT CAPE MAY, NJ – 2ND	AMOUNT REQUESTED $2,000,000

Reason for request: To enlarge the existing child development center to meet increasing demand for child care.

Description of problem or need: The existing child development center is unable to meet the demand for child care from the 800 Coast Guard employees in the Cape May area. Currently, affordable child care is not available in the Cape May area.

Description of solution: Construct an addition to the existing child development center. The addition will increase the capacity for child day care from 46 to 161 children.

Benefits: The project will allow Training Center Cape May to meet increasing demand for an affordable, conveniently located child development center. The availability of child care will greatly improve the quality of life for Coast Guard employees.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	32	14	288	59	393*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Recruit Barracks	1990	2,000
Construct Applied Training Facility	1992	5,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	9,900

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Sitework	LS	---	240
2. Exterior Utilities	LS	---	150
3. Building	SF	7700	1,500
4. Outfitting	LS	---	50
5. Electrical/Other	LS	---	60
	TOTAL		2,000

*** Personnel allowance is for Training Center only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE TRAINING CENTER, CAPE MAY, NJ – MODIFY RECRUIT BARRACKS, PH II	NEAREST CITY & CONGRESSIONAL DISTRICT CAPE MAY, NJ – 2ND	AMOUNT REQUESTED $3,900,000

Reason for Request: To modify existing recruit barracks squad bays to accommodate female recruits and meet safety codes.

Description of Problem or Need: Recruits undergoing basic training at Cape May are housed in barracks using a squad bay type arrangement, with each bay representing a "company" that trains together through basic training. Under current conditions, female recruits are separated from their companies in a consolidated female squad bay. This results in lost training to female recruits who are apart from their "company".

Description of Solution: Renovate existing squad bays to provide a male/female division within each squad bay. The project will also include the addition of female showers/heads and added stairwells to meet fire/life safety codes. There are 12 – three story recruit wings (36 squad bays) requiring renovations. Phase I, which provides a transient barracks and renovates 4 of the wings, is now under construction. Phase II will complete renovation of the remaining 8 wings.

Benefits: The project will allow female recruits to be housed with their individual companies and provide facilities equal to their male peers, eliminating the problem of lost training to female recruits.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	32	14	288	59	393*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct Recruit Barracks	1990	2,000
Construct Applied Training Facility	1992	5,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,900
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	9,900

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Demolition	LS	---	30
2. Sitework	LS	---	260
3. Exterior Utilities	LS	---	200
4. Building Renovation/Addition	SF	12,440	3,250
5. Outfitting	LS	---	160
	TOTAL		3,900

*** Personnel allowance is for Training Center only.**

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
TRAINING CENTER, CAPE MAY-RENOVATE ENLISTED UNACCOMPANIED PERSONNEL HOUSING	CAPE MAY, NJ - 2ND	$3,900,000

Reason for request: To renovate existing enlisted unaccompanied personnel housing (UPH) to meet current design standards and to accommodate female personnel.

Description of problem or need: The existing UPH facility accommodates non-recruit enlisted personnel assigned to Cape May. The existing facility is almost 30 years old. The heating system is deteriorated and the facility is not air conditioned. The open head/shower facilities do not meet current design standards for housing unaccompanied enlisted personnel. In addition, the existing facility cannot adequately accommodate female personnel.

Description of solution: Renovate existing UPH, convert existing heads to individual bathrooms for each berthing module. Replace heating system and install central air conditioning system.

Benefits: The project will provide housing for unaccompanied female personnel and upgrade the UPH to meet current design standard. Quality of life will be improved for Coast Guard personnel permanently assigned to Cape May.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

AL	OFF	WRNT	ENL	CIV	TOT
CURRENT	32	14	288	59	393*
PLANNED	NO CHANGE				

APPROPRIATION HISTORY

PROGRAM ($000)	YEAR	AMOUNT
Construct Recruit Barracks	1990	2,000
Construct Applied Training Facility	1992	5,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	9,900

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM COST NO.	MEASURE	QTY	ESTIMATED ($000)
1. Demolition	LS	---	280
2. Sitework/exterior Utilities	LS	---	250
3. Building Renovation	SF	40,200	3,000
4. Outfitting	LS	---	370
	TOTAL		3,900

* Personnel allowance is for Training Center only.

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV 6-80)
(PF 0-CPA)

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE WATERWAYS SHORT RANGE AIDS PROJECTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $4,000,000

Reason for Request: To improve aids to navigation which have become inadequate because of changes in waterway usage or for U. S. Army Corps of Engineers projects which extend or Improve the navigable waters of the U. S.

Description of Problem or Need: Corps of Engineers projects to improve channels will require expanded aids to navigation to facilitate transit of the channels. Waterways Analysis and Management System (WAMS) studies have identified deficiencies resulting from increases and changes in traffic, hazardous cargo, and vessel size.

Description of Solution: Install buoys and fixed structures to provide a safe and efficient aids to navigation (AtoN) system. Projects are based on Corps of Engineers channel designs or on WAMS identified deficiencies. Primary projects include improving navigation in the Upper Chesapeake Bay, and the Florida Keys.

Benefits: Support national security and maritime commerce by reducing the potential for life-threatening and costly accidents. Realize full benefit of improving deep draft channels (Corps of Engineers projects). Avoid placing restrictions on some types of vessels due to inadequate aids to navigation systems.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Waterways Aids-to-Navigation Projects	1989	3,000
Waterways Aids-to-Navigation Projects	1990	6,000
Waterways Aids-to-Navigation Projects	1991	7,000
Waterways Aids-to-Navigation Projects	1992	4,000
Waterways Aids-to-Navigation Projects	1993	4,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	23,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	----

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. Establish new/improved aids-to-navigation to mark Corps of Engineers improved waterways	LS	---	2,800
2. Establish new/improved aids-to-navigation to mark identified deficiencies in various waterways	LS	---	1,200
	TOTAL		4,000

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE OVERSEAS LORAN CLOSURE	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,500,000

Reason for Request: To provide funding for the closure and site restoration of overseas Loran stations.

Description of Problem or Need: The Coast Guard operates overseas Loran solely to satisfy Department of Defense (DoD) requirements for a long-range radionavigation system. These requirements will expire on January 1, 1995, when DoD's satellite Global Positioning Service (GPS) becomes operational. Without DoD requirements, there will no longer be a need or justification for the Coast Guard to operate overseas Loran.

Description of Solution: The Coast Guard will offer its overseas Loran stations to the Host Nations. The Coast Guard has been granted Circular 175 authority from the Department of State to negotiate the transfer of ownership of each station to its Host Nation, if that nation wishes to continue operation of the station. If a Host Nation chooses not to continue operating a Loran station, that station will be closed, and the station site will be restored to the extent required by the governing agreements signed between the U.S. and the Host Nation.

Benefits: Transferring ownership of a station to its Host Nation will save tax dollars by avoiding the need to restore station sites. Cost estimates for site restoration run as high as $5,000,000. Whether a station is turned over or closed, the funding required to operate these stations will no longer be required.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING:

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	9	10	143	0	162
PLANNED	4	4	83	0	91

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
NONE		

SUMMARY ($000):

AMOUNT OF THIS REQUEST	1,500
ESTIMATED FUTURE COST NEXT 4 YEARS –THIS PROJECT	16,500
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR:

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Transfer ownership of Loran Station Iwo Jima	ea	1	200
2.	Transfer ownership of Loran Station Marcus Island	ea	1	200
3.	Remove antenna Loran Station Barrigada	ea	1	700
4.	Transfer ownership of Loran Monitor Station Yokota	ea	1	400
		TOTAL		1,500

FISCAL YEAR 1994	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE PERSONNEL AND RELATED COSTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $39,000,000

Reason for Request: To provide funding for salaries, travel and support of 714 personnel in the Acquisition, Construction and Improvements (AC&I) program. Planning, design, engineering, contracting, inspection/quality control, provisioning and administrative resources are required to ensure successful program performance.

Description of Problem or Need: AC&I personnel and related expenses are essential to the effective and timely execution of the AC&I program. Expenses include salaries, standard personnel support costs, and miscellaneous supplies, equipment, and support services.

Description of Solution: Provide an appropriate workforce and resources to effectively manage ongoing AC&I projects as well as to successfully execute the additional requirements of the FY 1994 AC&I program. The continuously changing composition of the AC&I workload requires an equally dynamic workforce and support structure. The workforce and support resources requested in this line item will adequately meet the needs of the anticipated workload as described in this and prior year AC&I budgets.

Benefits: The effective execution of the Coast Guard AC&I program. This line item provides the required resources for AC&I planning, design, engineering, contracting, project management, quality assurance and logistics support to insure that the products and services of the AC&I program are provided on time and at cost.

IMPACTS ON AC&I FUNDED STAFFING

	CURRENT	PLANNED
MILITARY	347	411
CIVILIAN	303	303
TOTAL FULL TIME POSITIONS (FTP)	650	714
TOTAL FULL TIME EQUIVALENCY (FTE)	606	638

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Personnel and related costs	1989	22,400
Personnel and related costs	1990	*7,547
Personnel and related costs	1991	**30,536
Personnel and related costs	1992	34,000
Personnel and related costs	1993	36,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	210,000
ESTIMATED FUTURE COST NEXT 4 YEARS – THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Personnel compensation and benefits	LS	---	33,000
2.	Personnel support costs	LS	---	4,000
3.	Misc equipment, materials, travel, and Support Services	LS	---	2,000
		TOTAL		39,000

*Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction. In addition, excludes $8,400,000 of prior year funds made available by P.L. 101-164 dated November 21, 1989.

**In addition to the $30,536,000 appropriated in P.L. 101-516 for the Personnel and Related Costs subaccount, Coast Guard was authorized to transfer funds into this subaccount from other subaccounts in the AC&I appropriation to cover personnel compensation and benefits for a maximum of 586 FTE's.

Environmental Compliance and Restoration

For necessary expenses to carry out the Coast Guard's environmental compliance and restoration functions under chapter 19 of title 14, United States Code, [$22,000,000] *$23,057,000* to remain available until expended. (*Department of Transporation and Related Agencies Appropriations Act of 1993.*)

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT

Program and Financing (in thousands of dollars)

Identification code: *69–0230–0–1–304*	*1992 actual*	*1993 estimate*	*1994 estimate*
Program by activities:			
10.00 Total obligations	19,413	22,000	23,057
Financing:			
21.40 Unobligated balance available, start of year	–975	–3,062	–3,062
24.40 Unobligated balance available, end of year	3,062	3,062	3,062
40.00 Budget authority (appropriation)	21,500	22,000	23,057
Relation of obligations to outlays:			
71.00 Total obligations	19,413	22,000	23,057
72.40 Obligated balance, start of year	13,812	15,681	19,192
74.40 Obligated balance, end of year	–15,681	–19,192	–21,286
77.00 Adjustments and expired accounts	–200	...	...
90.00 Outlays	17,344	18,489	20,963

COAST GUARD -- Environmental Compliance and Restoration Account

PROGRAM AND PERFORMANCE

The Coast Guard Environmental Compliance and Restoration account provides resources to the Coast Guard to carry out its environmental compliance and restoration responsibilities resulting from the construction and operation of former and current Coast Guard facilities.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT
Object Classification (in thousands of dollars)

Identification code: *69-0230-0-1-304*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Personnel compensation:			
11.1	Full-time permanent	1,655	2,666	3,083
11.5	Other personnel compensation	10	31	36
11.7	Military personnel	179	280	468
11.9	Total personnel compensation	1,844	2,977	3,587
12.1	Civilian personnel benefits	271	439	508
12.2	Military personnel benefits	14	21	35
21.0	Travel and transportation of persons	196	186	189
22.0	Transportation of things	10	11	11
23.3	Communications, utilities, and miscellaneous charges	1	1	1
24.0	Printing and reproduction	8	9	9
25.2	Other services	15,404	16,500	16,824
26.0	Supplies and materials	1,172	1,299	1,325
31.0	Equipment	352	371	379
32.0	Land and structures	141	186	189
99.9	Total obligations	19,413	22,000	23,057

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT
Personnel Summary

Identification code: *69-0230-0-1-304*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Direct:			
Military: Total compensable workyears:			
Full-time equivalent employment	3	7	11
Civilian: Total compensable workyears:			
Full-time equivalent employment	22	56	62

U.S. COAST GUARD
Justification
Environmental Compliance and Restoration: 69-0230-0-1-304

Executive Order 12088 and federal, state, and local environmental laws and regulations require site restoration and compliance related actions throughout the Coast Guard, including: leak detection retrofits for underground storage tanks; additional wastewater treatment; air pollution emission controls; restoration of contaminated ground water and soils; and hazardous waste minimization.

Fiscal Year 1994 funding of $23,057,000 is requested. Detailed explanations are included in the following three categories:

1. CLEANUP AND REMEDIATION PROJECTS AND ACTIVITIES.................................... $9,357,000

The Coast Guard will follow its policy of addressing the most serious contamination problems first, including continuation of efforts started during the FY 1993 EC&R program. Due to uncertainties in levels of contamination found at each site, and potential state enforcement actions, costs and timing may vary. Individual cleanup and remediation projects, with estimated FY 1994 costs exceeding $500,000 include:

($000)

a. Support Center Kodiak, AK; Cap and Monitor Landfills... $2,300

Two landfill areas, that have not been used since 1986, are now undergoing a Resource Conservation and Recovery Act (RCRA) Facility Assessment/Corrective Measures Study (RFI/CMS). They are identified as areas of concern in the Consent Order issued to the Support Center by the state of Alaska. The amounts and types of contaminants are still being determined. We anticipate that the Remedial Investigation/Feasibility Study (RI/FS) and subsequent remedial designs will define the remediation parameters as RCRA caps, leachate trenches and approximately 30 years of post-closure monitoring.

b. Support Center Kodiak, AK; Nymans Peninsula Cleanup $600

The fuel farm on Nymans Peninsula is an area of concern in the Consent Order issued to the Support Center by the state of Alaska. At one time, there was over 6 million gallons of

1. CLEANUP AND REMEDIATION ACTIVITIES (Cont)

($000)

b. Support Center Kodiak, AK: Nymans Peninsula Cleanup (Cont)

fuel storage capacity on the peninsula. Most of the underground and aboveground storage tanks are now inactive, but there are numerous sites where petroleum products appear to saturate the soil. The area is now undergoing a RCRA Facility Assessment/Corrective Measures Study (RFI/CMS) that will establish the extent of contamination and appropriate remedial measures. Cleanup/remediation of the area, followed by several years of post-closure monitoring, will be required.

c. Air Station Traverse City, MI: Groundwater Remediation.. $600

This project continues remediation of two underground petroleum tank releases involving approximately 50,000 gallons of aviation gasoline and 15,000 gallons of JP-4 jet fuel. Completion of remediation is estimated in fiscal year 1995, followed by a minimum of ten years of post-closure monitoring. Cleanup activities are being conducted in accordance with the terms of the settlement agreement with the state of Michigan.

d. Support Center Elizabeth City, NC: Fuel Farm Remediation.. $700

To date, over 75,000 gallons of subsurface, free-floating fuel have been recovered from the site of a now-closed fuel farm. The total amount of fuel which was discharged is not yet known. The plume of contamination is contained within the Coast Guard's property line. A contract was recently signed for site assessment and remedial design of this site. Remedial action is expected to begin in fiscal year 1993 and continue until 1995, followed by several years of post-closure site monitoring.

e. Support Center Elizabeth City, NC: Investigation of Solid Waste Management Units (SWMU)................. $600

Approximately thirty-six RCRA Solid Waste Management Units (SWMUs) have been identified at the Support Center. Some of the SWMUs are suspected to be causing contamination of the groundwater, but the nature and extent of contamination (if any) from most of the SWMUs has not been determined. Investigation of the SWMUs is scheduled to begin in fiscal

1. CLEANUP AND REMEDIATION ACTIVITIES (Cont)

($000)

e. Support Center Elizabeth City, NC; Investigation of Solid Waste Management Units (SWMU) (Cont)

year 1993 and will continue into fiscal year 1994. Follow-on design and remediation of contaminated sites will be required.

f. Support Center Elizabeth City, NC; Remediate Trichloroethylene (TCE) Plume	$600

Groundwater monitor wells at the Support Center have detected evidence that discharges of TCE from the paint stripping shop may be contaminating the groundwater. Site assessment to determine the nature and extent of the contamination is scheduled to begin in fiscal year 1994.

g. Installation Remediation, Air Station Cape Cod, MA	$1,500

Air Station Cape Cod is a co-tenant with Otis Air National Guard (ANG) and Camp Edwards at the Massachusetts Military Reservation (MMR) located in Cape Cod, MA. The ANG Bureau Headquarters at Andrews Air Force Base, MD is leading the Installation Restoration Program (IRP) for 52 contaminated sites at the MMR; five of these sites have been identified as being the responsibility of the Coast Guard. Under the terms of the Federal Facilities Agreement, the Coast Guard will provide its proportionate share of the annual remedial design costs for all of the sites. This design work is being accomplished beginning with the areas that present the potential for risk to human health and the environment. Because of this, there is no schedule at present for remedial design of the five Coast Guard sites. Once remedial designs are completed for the Coast Guard sites, we expect that remedial action will be required beyond the year 2000, followed by several years of post-closure site monitoring.

h. OMEGA Station Hawaii, Contaminated Soil Cleanup	$600

Jet and diesel fuels containing polychlorinated biphenyls (PCBs) were burned to defoliate certain areas of OMEGA Station Hawaii from the mid-1970's until 1986. Approximately 20 acres may be contaminated with PCBs and dioxin. A preliminary assessment/site investigation (PA/SI) is now underway. The results of the PA/SI, after regulatory review, will determine what, if any, further actions are required to characterize and cleanup the site.

1. CLEANUP AND REMEDIATION ACTIVITIES (Cont)

($000)

i. Various Sites Under $500K each..................... $1,857

There are numerous small sites, Coast Guard wide, with remediation costs less than $500K each.

2. ENVIRONMENTAL COMPLIANCE PROGRAMS AND ACTIVITIES................................ $8,800,000

Provides funding for compliance activities at Coast Guard shore facilities and vessels, including: complying with federal and state underground storage tank regulations; performing compliance evaluations of shore facilities; hazardous waste minimization, pollution prevention, complying with the ban/limitation on disposal of plastic and other refuse at sea (Marine Plastic Pollution Research and Control Act of 1987), and the more stringent emissions requirements of the 1990 amendments of the Clean Air Act. Also provided for are: training of personnel, Comprehensive Environmental Response Compensation and Liability Act (CERCLA) Third party site costs, and program management costs including statutory reporting requirements.

($000)

a. Various Facilities, Agency-Wide; Air Emissions Studies Required by Clean Air Act................ $1,000

All large Coast Guard units and industrial facilities emitting regulated air pollutants and also located in air quality non-attainment areas are required under Section 182 of the Clean Air Act to perform a comprehensive inventory of actual VOC, NOx, CO and particulate emissions. The studies include emissions inventories, modeling, and compliance calculations to determine the actions necessary to bring noncompliant facilities into compliance with Clean Air Act requirements. These emission inventories are a top priority in order for states to meet national ambient air quality standards. Strict enforcement is expected. A total of 26 Coast Guard units are required to provide this information to their state regulatory agencies.

b. Small compliance projects, Agency-wide............ $1,000

This item funds mandated compliance projects under $500K at various shore units. Examples include required leak detection devices for underground storage tanks, stormwater control/treatment, and conforming work site hazardous waste storage modules.

2. ENVIRONMENTAL COMPLIANCE PROGRAMS AND ACTIVITIES (Cont)

($000)

c. Compliance Activities, Agency-Wide............... $1,100

Includes pollution prevention, waste minimization (material substitution/process changes), required training, periodic compliance evaluations at field units, program administration, and various compliance activities under $500K.

d. Vessel Compliance, Agency-wide.................. $5,200

Funds will provide for a small cutter plastic waste handling study ($200K), cutter engine modifications to meet emission limits ($500K), CFC-12 conversion equipment ($3,000K), and for replacement of oily water separators to reduce the generation of regulated waste ($1,500K).

e. CERCLA Third Party Site Costs.................... $500

Funding pays for the CG share of assessments, administration, and cleanups of CERCLA third party sites (non CG-owned hazardous waste sites where the CG and other parties were found to have contributed wastes).

3. PERSONNEL.. $4,900,000

Request will provide funding for the existing 73 personnel.

	FTP		FTE	
	Mil	Civ	Mil	Civ
FY 1993 Base...........	11	62	7	56
FY 1994 Request:				
Annualization..	0	0	4	6
New............	0	0	0	0
TOTALS.........	11	62	11	62

ALTERATION OF BRIDGES

For necessary expenses for alteration or removal of obstructive bridges, [$12,600,000] *$12,940,000*, to remain available until expended. *(Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES
Program and Financing (in thousands of dollars)

Identification code: *69-0244-0-1-403*	*1992 actual*	*1993 estimate*	*1994 estimate*
Program by activities:			
10.00 Total obligations (object class 25.2)	11,306	12,620	12,940
Financing:			
21.40 Unobligated balance available, start of year	−226	−20	...
24.40 Unobligated balance available, end of year	20	...	...
40.00 Budget authority (appropriation)	11,100	12,600	12,940
Relation of obligations to outlays:			
71.00 Total obligations	11,306	12,620	12,940
72.40 Obligated balance, start of year	19,375	27,756	27,822
74.40 Obligated balance, end of year	−27,756	−27,822	−22,662
90.00 Outlays	2,925	12,554	18,101

Note: Outlays may not add due to rounding.

COAST GUARD -- Alteration of Bridges

PROGRAM AND PERFORMANCE

This appropriation provides the Government's share of the costs for altering or removing bridges determined to be obstructions to navigation. In 1994, $12.9 million is requested to continue alterations on the Burlington Northern Railroad bridge over the Mississippi River at Burlington, Iowa, the Sidney Lanier bridge over the Brunswick River, at Brunswick, Georgia, the CSX-L&N Railroad bridge over the Pascagoula River, at Pascagoula, Mississippi, and the Florida Avenue bridge in New Orleans, Louisiana. Contract and design work is also requested to begin on projects at Fort Madison, Iowa, and Chelsea, Massachusetts.

U.S. COAST GUARD
Justification
Alteration of Bridges: 69-0244-0-1-403

Bridges to be altered generally were built with vertical and/or horizontal clearances which now restrict free navigation on navigable waters of the United States. Administrative costs associated with this program are funded from "Operating Expenses."

Fiscal Year 1994 funding of $12,940,000 is requested for the following projects to continue work on: Burlington Northern Railroad Bridge, Burlington, Iowa; Sidney Lanier Bridge, Brunswick, Georgia; Florida Avenue Bridge, New Orleans, Louisiana; and CSX-L&N Railroad Bridge, Pascagoula, Mississippi; and to begin contract and design work on projects at Fort Madison, Iowa, and Chelsea, Massachusetts.

The following is a profile of past and future funding for those projects for which funds are being requested in FY 1994:

Funding ($000)

Bridge Owner	Total U.S Cost	Funding to Date	FY 1994 Program Needs	Future Funding Reqmnts
E Pascagoula River, Pascagoula, MS/CSX-L&N Railroad	13,000	12,020	980	0
Mississippi River, Ft Madison, IA/Atchison Topeka & Santa Fe RR	21,000	0	960	20,040
Brunswick River, Brunswick, GA/GA DOT/Sidney Lanier Bridge	52,000	5,900	6,000	40,100
Mississippi River, Burlington, IA/Burlington Northern RR	16,500	7,050	2,000	7,450
Florida Ave, Port of New Orleans, New Orleans, Louisiana	32,000	1,000	2,000	29,000
Chelsea River, Boston, Massachusetts	42,000	0	1,000	41,000
Total	176,500	25,970	12,940	137,590

Retired Pay

For retired pay, including the payment of obligations therefor otherwise chargeable to lapsed appropriations for this purpose, and payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and for payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C. ch. 55), [$519,700,000] *$548,774,000. (Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY

Program and Financing (in thousands of dollars)

Identification code: *69-0241-0-1-403*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Program by activities:				
00.01	Regular military personnel	401,751	429,158	452,275
00.02	Former Lighthouse Service personnel	980	903	761
00.03	Reserve personnel	20,911	23,330	25,754
00.04	Survivor benefit programs	11,580	13,699	15,584
00.05	Medical care	43,192	52,610	54,400
10.00	Total obligations	478,414	519,700	548,774
Financing:				
25.00	Unobligated balance expiring	9,286	....	....
40.00	**Budget authority (appropriation).**	**487,700**	519,700	**548,774**
Relation of obligations to outlays:				
71.00	Total obligations	478,414	519,700	548,774
72.40	Obligated balance, start of year	51,135	63,357	77,955
74.40	Obligated balance, end of year	−63,357	−77,955	−82,316
77.00	Adjustments in expired accounts	−5,084	....	....
90.00	Outlays	461,108	505,102	544,413

COAST GUARD - Retired Pay

PROGRAM AND PERFORMANCE

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, for members of the former Lighthouse Service, and for annuities payable to beneficiaries of retired military personnel under the Retired Serviceman's Family Protection Plan (10 U.S.C. 1431-1446), and the Survivor Benefits Plans (10 U.S.C. 1447-1455); and for payments for medical and dental care of retired military personnel and their dependents under the Dependents Medical Care Act (10 U.S.C., Ch. 55).

The average numbers on the retired rolls are projected to increase by a net of 680 as a result of the part-year effect of 1994 retirements and attritions, and the annualization of 1993 retirements and attritions.

The following tabulation shows the estimated average number of personnel on the rolls during 1992 compared with estimated numbers for 1993 and 1994:

AVERAGE NUMBER

Category	1992 actual	1993 estimate	1994 estimate
Commissioned officers...	4,416	4,506	4,607
Warrant officers........	3,815	3,871	3,944
Enlisted personnel......	16,021	16,312	16,667
Former Lighthouse Service personnel......	44	40	33
Reserve personnel.......	2,393	2,537	2,695
Total..............	26,689	27,266	27,946

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY

Object Classification (in thousands of dollars)

Identification code: *69-0241-0-1-403*		*1992 actual*	*1993 estimate*	*1994 estimate*
13.0	Benefits for former personnel	435,222	467,090	494,374
25.2	Other services	43,167	52,580	54,370
26.0	Supplies and Materials	25	30	30
99.9	Total obligations	478,414	519,700	548,774

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
Digest of Budget Estimates By Activities for Fiscal Year 1994

Appropriation: Retired Pay	*1992 Actual*		*1993 Estimate*		*1994 Estimate*		*Increase/Decrease for 1994*	
	Average Number	*($000) Amount*	*Average Number*	*($000) Amount*	*Average Number*	*($000) Amount*	*Average Number*	*($000) Amount*
Program by activities:								
1. Regular military personnel..............	24,252	401,751	24,689	429,158	25,218	452,275	529	23,117
2. Former Lighthouse Service personnel................................	44	980	40	903	33	761	(7)	(142)
3. Reserve personnel..........................	2,393	20,911	2,537	23,330	2,695	25,754	158	2,424
4. Survivor benefit program.................	xxx	11,580	xxx	13,699	xxx	15,584	xxx	1,885
5. Medical care, retirees and dependents.	xxx	43,192	xxx	52,610	xxx	54,400	xxx	1,790
Total operating costs, funded.........	26,689	478,414	27,266	519,700	27,946	548,774	680	29,074
Unobligated balance expiring	xxx	9,286	xxx	....	xxx	....	xxx	....
Total appropriation or estimate.......	26,689	487,700	27,266	519,700	27,946	548,774	680	29,074

Summary Explanation of Changes Requested for Fiscal Year 1994

		($000) *AMOUNT BY ACTIVITY*				
	Total	*No. 1*	*No. 2*	*No. 3*	*No. 4*	*No. 5*
1. Adjustments to base, built-in changes:						
a. Annualization costs:						
(1) Additions to rolls during 1993 (621 average)...............	9,936	8,891	....	1,045	....	....
(2) Annualization of savings due to attritions from the rolls during 1993 (270 average).................................	(4,217)	(3,765)	(82)	(370)	....	....
b. Cost-of-living increase payable effective January 1, 1993 (3.0%)..	3,437	3,251	6	180	....	....
c. Survivor benefit program...	1,885	....	....	....	1,885	....
2. Program changes:						
a. Additions to rolls during 1994 (589 average)......................	10,039	8,716	....	1,323	....	....
b. Savings due to attritions from the rolls during 1994 (260 average)..	(4,332)	(3,929)	(82)	(321)	....	....
c. Cost-of-living increase payable effective January 1, 1994 (3.0%)..	10,536	9,953	16	567	....	....
d. Medical care, retirees and dependents............................	1,790	....	......	....	....	1,790
TOTAL CHANGE: 1994 OVER 1993 APPROPRIATION....................	29,074	23,117	(142)	2,424	1,885	1,790

COAST GUARD
Justification
Retired Pay: 69-0241-0-1-403

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, annuities for members of the former Lighthouse Service, and for payments to their survivors. In addition, this appropriation also provides funding for medical and dental care of retired military personnel and their dependents.

Members are added to the rolls each month as they are voluntarily or involuntarily retired. Members are removed from the rolls during the year normally due to their death. Nonetheless, the normal pattern results in a gradual increase in the retired rolls throughout the years.

Actual and estimated changes to the retirement rolls for the end of fiscal years 1992 through 1994 are as follows:

Change in Numbers on the Retired Rolls

	1992 actual	1993 estimate	1994 estimate
On rolls, Beginning of Year	26,630	27,296	27,883
Additions:			
Regular military personnel:			
Commissioned officers....	188	195	205
Warrant officers.........	109	120	145
Enlisted personnel.......	555	587	640
Reserve personnel.........	240	195	220
Subtotal	1,092	1,097	1,210
Reductions:			
Attritions................	-426	-510	-520
On rolls, End of Year......	27,296	27,883	28,573

COAST GUARD
Justification
Retired Pay: 69-0241-0-1-403

Explanation of Changes Requested for Fiscal Year 1994

The increases requested are based on the annualization of FY 1993 adjustments and anticipated changes in FY 1994.

FY 1994 Appropriation

	($000)	Average Personnel
Retired Pay	$467,090	27,266
Health Care	52,610	N/A
Total Appropriation, FY 1993	519,700	27,266

1. The following are adjustments to the FY 1993 Appropriation Base:

	($000)	Average Personnel
a. Annualized costs:		
(1) Retirements	9,936	621
(2) Attritions	-4,217	-270
(3) Cost-of-living increase, effective Jan. 1, 1993 (3.0%)	3,437	N/A
b. Survivor benefit program:		
(1) Projected increase in Survivor Benefit payments	1,885	N/A
Subtotal, FY 1993 adjustment	11,041	351

2. The following are the adjustments to the FY 1994 Budget Request based on the new program adjustments that will begin in FY 1994:

	($000)	Average Personnel
a. Retirements	10,039	589
b. Attritions	-4,332	-260
c. Cost-of-living increase effective Jan. 1, 1994 (3.0%)	10,536	N/A
d. Medical benefits	1,790	N/A
Subtotal, FY 1994 Adjustment	18,033	329
Total, FY 1994 Request	$548,774	27,946

RESERVE TRAINING

[(INCLUDING TRANSFER OF FUNDS)]

For all necessary expenses for the Coast Guard Reserve, as authorized by law; maintenance and operation of facilities; and supplies, equipment, and services; [$73,000,000, of which $50,000,000 shall be available only to the extent transferred from the Department of Defense] *$64,000,000. (Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars)

Identification code: *69-0242-0-1-999*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Program by activities:			
	Direct Program:			
00.01	Initial training	2,131	883	83
00.02	Continuing training	44,394	43,391	38,309
00.03	Operation and maintenance of training facilities	11,305	11,171	9,372
00.04	Administration	17,128	17,555	16,236
00.91	Total direct program	74,958	73,000	64,000
01.01	Reimbursable program	14	80	80
10.00	Total obligations	74,972	73,080	64,080
	Financing:			
25.00	Unobligated balance expiring	42	....	....
39.00	Budget authority (gross)	75,014	73,080	64,080
	Budget Authority:			
	Current:			
40.00	Appropriation	25,000	23,000	64,000
42.00	Transferred from other accounts	50,000	50,000	....
43.00	Appropriation (total)	75,000	73,000	64,000
	Permanent:			
68.00	Spending authority from offsetting collections (new)	14	80	80

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars) p.2

Identification code: *69–0242–0–1–999*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Relation of obligations to outlays:			
71.00	Total obligations	74,972	73,080	64,080
72.40	Obligated balance, start of year	4,749	2,704	9,490
74.40	Obligated balance, end of year	−2,704	−9,490	−8,320
77.00	Adjustments in expired accounts	−605	....	....
87.00	Outlays (gross)	76,412	66,294	65,250
	Adjustments to budget authority and outlays:			
88.00	Deductions for offsetting collections: Federal funds	−14	−80	−80
89.00	Budget authority (net)	75,000	73,000	64,000
90.00	Outlays (net)	76,398	66,214	65,170

PROGRAM AND PERFORMANCE

The Coast Guard Reserve Forces provide qualified individuals and trained units for active duty in the event of conflict, national emergency, or natural and man-made disasters. The reservists maintain their readiness through realistic coordinated mobilization exercises, formal military training and duty alongside regular Coast Guard members during routine and emergency operations. The 1994 Selected Reserve program level will support a fully funded strength of 8,000.

DAYS OF TRAINING

	1992 actual	1993 estimate	1994 estimate
Initial training:			
Initial active duty for training....	48,446	20,000	1,000
Continuing training:			
Selected Reserve (with pay):			
Active duty training..............	116,775	90,000	68,000
Drill training....................	221,111	242,000	207,000
Other Ready Reserve (without pay):			
Active duty for training..........	16	400	400
Drill training....................	7,930	7,500	7,500

PROGRAM AND PERFORMANCE, p. 2

The table below shows the personnel strength in the various Reserve categories at the end of 1992, 1993, and 1994.

PERSONNEL IN THE COAST GUARD RESERVE 1/

	1992 actual	1993 estimate	1994 estimate
1. **Ready Reserve:**			
a. Selected			
(1) Initial training 2/	305	100	.....
(2) Continuing training: Drill pay strength	10,927	10,400	8,000
Subtotal, Selected Reserve	11,232	10,500	8,000
b. Individual Ready Reserve	7,344	8,000	10,500
Subtotal, Ready Reserve	18,576	18,500	18,500
2. **Standby Reserve:**			
a. Active Status	3	5	5
b. Inactive status	667	645	595
Subtotal, Standby Reserve	670	650	600
Total 1/	19,246	19,150	19,100

1/ Excludes Reserve personnel on extended active duty and in the Retired Reserve.

2/ Includes personnel in the second period of the split initial training program.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Object Classification (in thousands of dollars)

Identification code: *69-0242-0-1-999*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full-time permanent	2,399	2,300	2,330
11.3	Other than full-time permanent	19	20	20
11.5	Other personnel compensation	74	70	70
11.7	Military personnel	55,252	53,410	45,430
11.9	Total personnel compensation	57,744	55,800	47,850
12.1	Civilian personnel benefits	520	550	560
12.2	Military personnel benefits	4,643	4,560	3,910
21.0	Travel and transportation of persons	3,985	4,150	3,980
22.0	Transportation of things	497	530	490
23.3	Communications, utilities, and miscellaneous charges	1,063	1,120	1,150
24.0	Printing and reproduction	21	30	30
25.2	Other services	2,171	2,070	1,820
26.0	Supplies and materials	3,780	3,580	3,590
31.0	Equipment	465	550	560
42.0	Insurance claims and indemnities	69	60	60
99.0	Subtotal, direct obligations	74,958	73,000	64,000
99.0	Reimbursable obligations	14	80	80
99.9	Total obligations	74,972	73,080	64,080

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING
Personnel Summary

Identification code: *69-0242-1-999*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Direct:			
Military: Total compensable workyears:			
Full-time equivalent employment	598	570	482
Civilian: Total compensable workyears:			
Full-time equivalent employment	100	100	100
Full-time equivalent of overtime and holiday hours	2	2	2

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RESERVE TRAINING

Budget Authority (dollars in thousands)

Program by activities:	*1992 Enacted* Full-time perm.pos.	*1992 Enacted* Appropriation	*1993 Enacted* Full-time perm.pos.	*1993 Enacted* Appropriation	*1994 Estimate* Full-time perm.pos.	*1994 Estimate* Appropriation
1. Initial training	....	2,131	....	883	....	83
2. Continuing training	....	44,394	....	43,391	....	38,309
3. Operating and maintenance of training facilities	267	11,305	249	11,171	198	9,372
4. Administration	444	17,170	427	17,555	390	16,236
Total appropriation or estimate	711	75,000	676	73,000	588	64,000
(Military)	598		570		482	
(Civilian)	113		106		106	

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1994
RESERVE TRAINING – JUSTIFICATION

CAT	TITLE	POSITIONS MIL	POSITIONS CIV	FTE MIL	FTE CIV	($000) CG REQUEST
1.	PROGRAM REDUCTIONS					
	A. ADMINISTRATIVE EXPENSE REDUCTION	0	0	0	0	–$203
	B. REDUCE SELECTED RESERVE FORCE	–88	0	–88	0	–$10,107
	SUBTOTAL, CATEGORY 1	–88	0	–88	0	–$10,310
2.	BUILT–IN CHANGES					
	A. ANNUALIZATION OF FY 1993 PAY RAISE	0	0	0	0	$750
	B. NON–PAY COST OF LIVING ADJUSTMENT	0	0	0	0	$330
	C. UNIFORM REPLACEMENT FUND	0	0	0	0	$230
	SUBTOTAL, CATEGORY 2	0	0	0	0	$1,310
	TOTAL, CATEGORIES 1 & 2	-88	0	-88	0	-$9,000

U. S. COAST GUARD
Justification
Reserve Training: 69-0242-0-1-999

FY 1994
DETAILED EXPLANATION OF CHANGES

1. PROGRAM REDUCTIONS:............................ -$10,310,000

a. Administrative Expense Reduction............. -$203,000

This request will reduce funding from the FY 1993 base in accordance with Executive Order 12837 of 10 February, 1993 requiring a 3% Administrative expense reduction.

Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Administration	Total
$0	$0	-$80	-$123	-$203

b. Reduce Selected Reserve Strength...............-$10,107,000

This request will reduce funding from the FY 1993 base to maintain the funded strength of the Selected Reserve at 8,000 during FY 1994. A Full-time support personnel reduction of 88 military billets is also included.

Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Administration	Total
-$844	-$6,077	-$1,848	-$1,338	-$10,107

2. BUILT-IN CHANGES:................................ $1,310,000

a. Annualization of FY 1993 Pay Raise........... $750,000

This request provides funding to annualize the fourth quarter increment of the 3.7 percent increase in pay and other entitlements for military and civilian personnel which became effective January 1, 1993, including additional pay to support an increase in GI Bill benefits incurred but unfunded in FY 1992 and 1993.

(Continued on next page)

2. **BUILT-IN CHANGES (Cont)**

a. Annualization of FY 1993 Pay Raise (Cont)

Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Adminis-tration	Total
$28	$567	$66	$89	$750

b. Non-Pay Cost of Living Adjustment............. $330,000

A government-wide inflation rate of 2.7 percent has been applied to the non-pay portion of this appropriation to provide the funds needed to continue both training and support at FY 1993 program levels in FY 1994.

Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Adminis-tration	Total
$16	$198	$63	$53	$330

c. Uniform Relacement Cost...................... $230,000

This budget item includes a one time increase of $230,000 to the uniform replacement fund, which is necessary to cover the cost of outfitting Reserve enlisted members with the new short sleeve shirt not later than June 1, 1994.

Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Adminis-tration	Total
$0	$230	$0	$0	$230

Total Net Amount by Activity ($000)

Initial Training	Continuing Training	O & M for Training Facilities	Adminis-tration	Total
-$800	-5,082	-$1,799	-$1,319	-$9,000

RESEARCH, DEVELOPMENT, TEST, AND EVALUATION

For necessary expenses, not otherwise provided for, for applied scientific research, development, test, and evaluation; maintenance, rehabilitation, lease and operation of facilities and equipment, as authorized by law, [$27,815,000] *$25,000,000*, to remain available until expended, of which [$5,595,000] *$4,457,000* shall be derived from the Oil Spill Liability Trust Fund: *Provided*, That there may be credited to this appropriation funds received from State and local governments, other public authorities, private sources, and foreign countries, for expenses incurred for research, development, testing, and evaluation. *(Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Program and Financing (in thousands of dollars)

Identification code: *69–0243–0–1–403*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Program by activities:			
	Direct Program:			
00.01	Search and rescue	2,913	4,385	2,991
00.02	Aids to navigation	2,825	5,487	4,650
00.03	Marine safety	2,554	4,967	4,846
00.04	Marine environmental protection	4,692	10,628	4,650
00.05	Enforcement of laws and treaties	5,277	8,653	6,557
00.06	Ice operations	383	670	512
00.07	Defense readiness	1,814	1,025	794
00.91	Total direct program	20,458	35,815	25,000
01.01	Reimbursable program	803	803	803
10.00	Total obligations	21,261	36,618	25,803
	Financing:			
21.40	Unobligated balance available, start of year	–736	–9428	–1428
24.40	Unobligated balance available, end of year	9,428	1,428	1,428
39.00	Budget authority (gross)	29,953	28,618	25,803

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Program and Financing (in thousands of dollars) p.2

Identification code: *69-0243-0-1-403*	*1992 actual*	*1993 estimate*	*1994 estimate*
Budget Authority:			
Current:			
40.00 Appropriation	29,150	22,220	20,543
Permanent:			
68.00 Spending authority from offsetting collections	803	6,398	5,260
Relation of obligations to outlays:			
71.00 Total obligations	21,261	36,618	25,803
72.40 Obligated balance, start of year	24,218	21,919	22,999
74.40 Obligated balance, end of year	−21,919	−22,999	−16,446
87.00 Outlays (gross)	23,560	35,538	32,356
Adjustments to budget authority and outlays:			
Deductions for offsetting collections:			
88.00 Federal funds	−803	−803	−803
88.30 Trust funds (Oil spill liability trust fund)	...	−5,595	−4,457
88.90 Total, offsetting collections	−803	−6,398	−5,260
89.00 Budget authority (net)	29,150	22,220	20,543
90.00 Outlays (net)	22,757	29,140	27,096

COAST GUARD--Research, Development, Test and Evaluation

PROGRAM AND PERFORMANCE

The Coast Guard's Research, Development, Test and Evaluation (R&D) program includes the development of techniques, methods, hardware, and systems which directly contribute to increasing the productivity and effectiveness of Coast Guard's operating missions.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Object Classification (in thousands of dollars)

Identification code: *69-0243-0-1-403*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full-time permanent	3,084	3,198	3,102
11.3	Other than full-time permanent	592	614	596
11.5	Other personnel compensation	59	61	59
11.7	Military personnel	2,289	2,374	2,160
11.9	Total personnel compensation	6,024	6,247	5,917
12.1	Civilian personnel benefits	670	695	674
12.2	Military personnel benefits	199	206	187
21.0	Travel and transportation of persons	940	970	882
22.0	Transportation of things	92	95	86
23.2	Rental payments to others	...	1,072	976
23.3	Communications, utilities, and miscellaneous charges	47	49	45
24.0	Printing and reproduction	9	9	8
25.1	Consulting Services	...	100	150
25.2	Other services	9,891	16,668	9,189
26.0	Supplies and materials	1,585	2,516	1,489
31.0	Equipment	1,001	1,593	940
99.0	Subtotal, direct obligations	20,458	30,220	20,543
99.0	Reimbursable obligations	803	6,398	5,260
99.9	Total obligations	21,261	36,618	25,803

COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION
Personnel Summary

Identification code: 69-0243-0-1-403	1992 actual	1993 estimate	1994 estimate
Direct:			
Military: Total compensable workyears:			
Full-time equivalent employment........	53	53	48
Civilian: Total compensable workyears:			
Full-time equivalent employment........	78	93	90
Full-time equivalent of overtime and holiday hours................................	1	1	1

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RESEARCH, DEVELOPMENT, TEST, AND EVALUATION

Budget Authority (dollars in thousands)

	1992 Actual *		1993 Estimate *		1994 Estimate *	
Program by activities:	*Full-time perm.pos.*	*Appro-priation*	*Full-time perm.pos.*	*Appro-priation*	*Full-time perm.pos.*	*Appro-priation*
1. Search and rescue		4,161		3,425		2,991
2. Aids to navigation		4,036		4,287		4,650
3. Marine safety		3,649		3,847		4,846
4. Marine environmental protection		6,626		8,229		4,651
5. Enforcement of laws and treaties		7,539		6,733		6,557
6. Ice Operations		547		510		512
7. Defense readiness		2,592		784		793
Total appropriation or estimate	150	$29,150	155	$27,815	147	$25,000
(Military)	54		59		54	
(Civilian)	96		96		93	

** Amounts shown represent a programmatic distribution of funds appropriated for each year. Therefore, they may not correspond to the amounts on lines 00.01-00.07 of the Program and Financing schedule, which consist of direct obligations of both prior year and current year appropriated funds.*

Summary Explanation of Changes Requested for Fiscal Year 1994

Program Changes:

Requirements for this appropriation are determined by the cost of specific projects described in detail on the project sheets. The projects are as follows:

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Research, Development, Test & Evaluation: 69-0243-0-1-403
(dollars in thousands)

	Program/Line Item	Page Number	Request ($000)
A.	**Search and Rescue:**		
	1. Improved Search and Rescue Capabilities (ISARC)	183	1,015
	SUBTOTAL, SEARCH AND RESCUE		1,015
B.	**Aids to Navigation (ATON):**		
	1. Advanced Global Positioning System (GPS) Development	184-185	700
	2. Waterways Safety and Management Research and Development	186-187	875
	SUBTOTAL, AIDS TO NAVIGATION		1,575
C.	**Marine Safety:**		
	1. Marine Safety Research	188-189	1,695
	2. Fire Safety Technology	190-191	750
	3. Support for the Interagency Ship Structure Committee	192	250
	SUBTOTAL, MARINE SAFETY		2,695
D.	**Marine Environmental Protection:**		
	1. Marine Environmental Protection/Pollution Response	193-194	2,275
	2. OPA-90 Regional Grant Program	195	500
	SUBTOTAL, MARINE ENVIRONMENTAL PROTECTION		2,775
E.	**Enforcement of Laws and Treaties:**		
	1. Comprehensive Law Enforcement Capabilities Improvements (COMPLAW)	196-197	1,100
	SUBTOTAL, ENFORCEMENT OF LAWS AND TREATIES		1,100
F.	**Mission Capabilities Assessment:**		
	1. Engineering Support (including Servicewide Hazardous Materials Minimization)	198-199	500
	2. CG Vessel Loss Exposure and Risk Analysis	200	400
	3. Pre-Acquisition Support	201	2,020
	SUBTOTAL, MISSION CAPABILITIES ASSESSMENT		2,920
G.	**Multi-Mission:**		
	1. Increased Human Resource Management Effectiveness	202	695
	2. Information Systems Technology and Development	203-204	1,985
	3. Advanced Communications Technologies	205	300
	4. Select Project Research and Development	206	500
	5. Program Support and Operations	207	1,600
	6. Personnel and Related Costs	208	7,840
	SUBTOTAL, MULTI-MISSION		12,920
	TOTAL FY 1994 RDT&E REQUEST		25,000

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA **SEARCH AND RESCUE (SAR)**	AMOUNT REQUESTED **$1,015,000**

PROJECT

IMPROVED SEARCH AND RESCUE CAPABILITIES (ISARC)

INITIATIVE: New technology and improvements in existing products increase the effectiveness and efficiency of SAR. A comprehensive, interactive and committed R&D effort is necessary to ensure that available resources, as well as new and developing technologies, are used effectively and efficiently.

OBJECTIVES: Increase the probability of success in SAR missions.

* Develop long term R&D plan for the Search and Rescue Program.

* Improve quality of environmental products used in Computer Assisted SAR Planning (CASP).

* Enhance search success and failure analysis efforts so that "lessons learned" can be fed back to SAR planners and/or incorporated into existing search planning policy/guidance.

* Develop and evaluate improved electronic search tools and search planning methods to better define/confine search areas.

* Study drift characteristics of typical search targets and develop/update ocean current files for all ocean areas for use in search planning.

BENEFITS: SAR effectiveness improvements will result in increasing the number of lives and property saved while decreasing the cost of SAR operations in the Coast Guard. Increased SAR efficiency reduces resource usage, thus providing additional resource hours for other required missions.

ACCOMPLISHMENTS

FY1992 & PRIOR: Conducted Night Vision Goggles (NVG) experiments ...developed prototype air-deployable, self-locating datum marker buoy ... installed satellite ground station for capture, display, and analysis of satellite imagery for ocean currents ... CG CASP review/rewrite team conducted functionality testing and performed software corrections ... developed sweep width tables for electronic devices ... updated the National SAR Manual (NSM) and CG Addendum to NSM ... continued CASP rewrite... evaluated day/night distress signals in dynamic conditions.

PLANNED FY1993: Develop algorithm to improve CASP use of current/wind files to predict search area movement ... revise regional models ... develop, test and evaluate Global Positioning System datum marker buoy with real time satellite link ... continue joint US/Canadian work on surface currents derived from satellite imagery ... conduct case studies.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Search and Rescue Systems Improvements	1991	1,800
SARSAT	1991	600
Search and Rescue Systems Improvements	1992	1,950
SAR Hovercraft – Upper Cook Inlet	1992	75
Improved Search and Rescue Capabilities (ISARC)	1993	1,450

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**SAR Operations Planning** – Research into those aspects of SAR which affect planning functions and allocation of resources relating to the choice of search area, search tactics, search platform, and search sensor...Use of CASP models, regional models, drifting buoys, and satellite imagery to provide an integrated approach to search area definition...Specialized problems such as drift of persons in survival suits	780
2.	**Evaluation of SAR Platforms and Sensors** – Covers probability of detection for electronic and visual search...the capabilities of search platforms to perform under all conditions...and the techniques and methods used to make the most efficient allocation of search resources	235
	Total	1,015

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $ 700,000

PROJECT

ADVANCED GLOBAL POSITIONING SYSTEM (GPS) DEVELOPMENT

Page 1 of 2

INITIATIVE: To conduct advanced research into GPS technology and to provide for future productivity improvements in order to facilitate the deployment of an operational Differential Global Positioning System (DGPS). DGPS will be the first federally supported navigation system to provide the accuracy required for Harbor and Harbor Approach (HHA) radionavigation and can be expected to reduce the risk of collisions, groundings and oil spills resulting from navigational errors. Specific Coast Guard requirements for precise navigation, such as Vessel Traffic Service (VTS) support and Aids to Navigation positioning, will be achieved through DGPS technology. This research will also keep the Coast Guard abreast of emerging GPS applications and utilities, fulfilling the Coast Guard's role mandated in the Federal Radionavigation Plan and 14 USC 81.

OBJECTIVES:

* Assist in the nationwide maritime deployment and planned productivity improvement of an operational DGPS system, including the development of prototype hardware, software, and documentation for a DGPS radionavigation system that provides a 10 meter accuracy 95% of the time.

* Assess the applicability, utility and cost effectiveness of using DGPS in the execution of other Coast Guard missions by developing user equipment and application support systems for USCG missions and requirements.

* Provide a precise sensor for VTS dependent surveillance in congested and dangerous waters.

BENEFITS: Improved navigation safety and efficiency through GPS and DGPS. Improved cost effectiveness of radionavigation aids via gradual phase-out of existing costly and manpower intensive radionavigation systems. Improved mission performance in the areas of environmental protection, law enforcement, search and rescue, national security, and vessel traffic services.

ACCOMPLISHMENTS

FY1992 & PRIOR: Completed reference station prototype...proved DGPS can provide required accuracy for short range Aids to Navigation positioning....completed second generation reference station prototype...commenced CG operational field tests...continued mine countermeasures support with DGPS and Differential Loran-C System and evaluation...tracked the GPS navigation performance as it evolved....completed operational test at Montauk Point, Long Island, NY...completed radiobeacon demodulator development...completed preliminary evaluation of Montauk Point test...completed Laptop Automated Aids Positioning System (LAAPS) prototype and evaluation....completed handoff of LAAPS technology for USCG operational use...completed prototype radiobeacon demodulator.

PLANNED FY1993: Investigate and promote new GPS, DGPS, and radiobeacon developments...investigate system performance improvements and cost reductions...complete reference station monitor development...participate and promote Radio Technical Commission for Marine Sciences and National Marine Electronics Association interface standard development...develop DGPS deployment alternatives...develop internal DGPS monitor and control capability.

APPROPRIATION HISTORY

	APPROPRIATION	
PROJECT	YEAR	AMOUNT ($000)
GPS Development	1991	800
Port Management	1991	1,320
GPS Development	1992	400
Port Management	1992	400
Advanced GPS Development	1993	710

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Continue DGPS Reference Station Monitor Development Efforts - Complete the design, test, evaluation, and documentation of the techniques and algorithms which are required to be integrated into the Reference Station Monitor in FY94, including an independent navigation solution which is resident outside of the GPS receiver. Continue to develop improvements and optimizations for the techniques and algorithms developed	200

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $ 700,000

PROJECT

ADVANCED GLOBAL POSITIONING SYSTEM (GPS) DEVELOPMENT — Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR (cont.)

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
2.	Radiobeacon Broadcast Communications, Control, and Monitor Facility Development -- Complete the integration, testing, and documentation of a Reference Station Monitor (RSM) to the program manager's specifications. Subject the RSM and its documentation to independent evaluation and testing (IE&T).	205
3.	DGPS User Equipment Enhancement -- Investigate DGPS user equipment technologies and techniques that provide a level of integrity and reliability appropriate for navigating large vessels through confined waterways, recognizing that vessels may not be able to deviate from a course in the event of a system failure. Investigate Receiver Autonomous Integrity Monitoring (RAIM) methods to provide additional safety of navigation. Investigate the capabilities of GPS azimuth determination sensors relative to other shipboard heading sensors. Investigate improved velocity determination using DGPS sensors. Investigate the use of supplementary radionavigation signals. Recommend technologies and procedures to satisfy legal aspects of navigating with DGPS in low visibility conditions	295
	Total	700

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $875,000

PROJECT

WATERWAYS SAFETY AND MANAGEMENT RESEARCH AND DEVELOPMENT Page 1 of 2

INITIATIVE: The EXXON VALDEZ and other recent major oil spills focused national attention on our ability to prevent and respond to catastrophic spills. The Oil Pollution Act of 1990 mandates that the Coast Guard conduct research and development in accordance with the Oil Pollution Research and Technology Plan. This project will respond to many of the prevention aspects of the plan. This initiative will apply the new and emerging technologies of electronic charts, electronic navigation systems, advanced lighting, radionavigation, expert and decision support systems, and human factors in a comprehensive systems level investigation of marine navigation safety and effectiveness in U.S. waterways. It will also evaluate the effectiveness of the marine transportation system components (aids to navigation (ATON), the mariner, port services, etc) and their interaction.

OBJECTIVES:

* Document the inadequacies of existing visual signals with a goal of eliminating them in future designs, and determine quantifiable performance standards for visual signals to ensure adequate service to the mariner...develop new buoy systems with improved signal quality and handling safety, and lower life cycle cost...develop computer-aided buoy design programs specific to Coast Guard needs that increase the efficiency of the ATON buoy design and modification process.....investigate technologies for automated buoy monitoring.

* Conduct simulations and at-sea experiments to determine the effect of various types and combinations of aids and obstructions (buoys, ranges, radio aids, bridges, daymarks, etc.) on mariner navigation performance....use the results of these studies to adjust the Relative Risk Factor for incorporation into the present Waterway Design Manual and software....determine methodologies for determining risk of casualty.

* Conduct an evaluation of International Maritime Organization (IMO) Provisional Performance Standards (PPS) for Electronic Chart Display Information Systems (ECDIS) by conducting a comprehensive test and evaluation program to assess the adequacy of the proposed ECDIS standards...investigate means/process required for updating electronic charts...evaluate capability and limitations of expert bridge systems for navigation and piloting...investigate USCG requirements for ECDIS for improving USCG mission capabilities.

* Establish the relative risk factors for ECDIS compared to those already established for existing navigation methods as stated in the Short Range Aids Design Manual.

BENEFITS: Marine transportation system performance equal to or greater than present system at reduced costs...increased safety for Coast Guard personnel handling hardware associated with the aids system...improved navigation signals provided to the manner...reduced environmental impact of ATON system...amended Waterways Design Manual to include new relative risk factor measurement techniques...feasibility of deploying an automated buoy monitoring system...safe, effective implementation and use of advanced ECDIS for more economical marine transportation...improved safety and efficiency of the Nation's ports...reduced risk of catastrophic marine disasters.

ACCOMPLISHMENTS

FY1992 & PRIOR: Developed new minor light designs and procurement information...produced lighted aid design software...completed final report on 5 year dayboard materials...developed portions of the systems that permit use of ECDIS including LORAN-C, Global Positioning System/Differential Global Positioning System (GPS/DGPS), and ATON system relative risk studies...developed portions of the provisional standards for ECDIS...developed (with Maritime Administration (MARAD)) shipboard piloting expert system (SPES) and integrated bridge system (IBS) prototypes.

PLANNED FY1993: Begin Aid Mix and Navigation Obstruction studies to determine the effect of various types and combinations of navigational aids and obstructions on mariner performance...complete visibility report...perform at-sea evaluation of representative ECDIS technology...continue joint investigations of SPES and IBS technologies and methods...continue development of new buoy systems...update design and implementation guides to include the latest design techniques...develop computerized design and implementation tools...research alterations to our navigation signal system which improve the mariner's performance and enhance navigational safety...provide a report suitable for USCG submission on IMO Provisional Standards for ECDIS at the 1993 IMO/IHO Harmonization Committee...review Vessel Traffic Center (VTC) operations...categorize and measure human operations...suggest potential equipment/procedure changes to improve efficiency and performance...begin to review type/quantity of information gathered at each VTC...determine long-term data storage needs...begin to develop data storage environment accessible to sources outside the Vessel Traffic System (VTS) and the Coast Guard...ensure that advances in technology such as DGPS and Automated Dependent Surveillance are factored into the requirements which result from the VTS Port Needs Study.

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $ 875,000

PROJECT

WATERWAYS SAFETY AND MANAGEMENT RESEARCH AND DEVELOPMENT (cont.) Page 2 of 2

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Short Range Aids-to Navigation Research	1990	683
New Buoy Systems and Aids to Navigation Signal Effectiveness	1991	780
New Buoy Systems and Aids to Navigation Signal Effectiveness	1992	365
Integrated Navigation Systems	1991	600
Ports Management: Integrated Navigation Systems	1992	600
Short Range Aids To Navigation Research	1993	200
Integrated Navigation Systems/ECDIS	1993	150
Vessel Traffic Systems and Services	1993	175
Waterways Management OPA Level II	1993	150

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Short Range Aids to Navigation Research – Incorporate new technologies into ATON...continue to improve the ATON system...reduce cost of operations...reduce environmental impact of ATON system...develop automated ATON engineering and management functions.	250
2.	Integrated Navigation System T&E – Continue a test and evaluation program to assess the impact of implementing the IMO Standards by specifying, developing and testing an experimental integrated navigation system for use in at-sea trials.	300
3.	VTS Automatic Dependent Surveillance (ADS) in Narragansett Bay – Evaluate various positioning and communication equipment combinations as a proof of concept ADS system for VTS use...determine if ADS has operational applications in areas where the Port Needs Study has demonstrated that VTS will result in a positive net economic benefit. *OPA-90 Level I element ($100K) in accordance with the OPA Interagency R&D Plan*	100
4.	Traffic Management – Examine all aspects of waterways that affect the passage of traffic...investigate new concepts for managing vessel traffic...*Two OPA-90 Level II elements ($225K) in accordance with the OPA Interagency R&D Plan.*	225
	Total	875

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $1,695,000

PROJECT

MARINE SAFETY RESEARCH Page 1 of 2

INITIATIVE: The Coast Guard is responsible for enhancing the safety and security of life and property associated with vessels and port facilities and for protecting the marine environment.

OBJECTIVES:

- Reduce loss of life and property and mitigate environmental damage by marine vehicles.
- Pursue projects to prevent spills from occurring through improved commercial vessel safety programs.
- Improve efficiency and effectiveness of regulatory activities and achieve greater parity with international regulations through research.

BENEFITS: Reduced cost and enhanced safety for the public by enabling the Coast Guard marine safety program to keep abreast of technological advances and meet industry needs. Minimized risk of spills through improved vessel safety, personnel performance, vessel inspection and operations.

ACCOMPLISHMENTS

FY1992 & PRIOR: Completed a fundamental assessment and review of the Marine Safety, Security and Environmental Protection Program in focused project areas...defined many new areas of emphasis and ranked projects in priority...initiated highest priority projects...held stability workshop steering committee organizational meeting...issued Phase I Fishing Vessel Stability Report. Projects involved joint effort with Canadian CG to evaluate rough water performance of life jackets, studies on use of clean burning alternative fuels for vessels, determining role of human factors in vessel casualties, means to determine qualifications and training on vessels with reduced crews, testing and use of composite materials in vessel construction, evaluating means to provide inspectors with vessel background information and automated inspection data entry capabilities, and innovative inspection procedures and improved methods of performing tank vessel inspections.

PLANNED FY1993: Evaluate safety standards for small vessels, start analysis of human factors considerations on vessels with one person bridges, examine qualifications and manning requirements for crew members on automated vessels, determine minimum manning requirements, continue work on automated data entry for inspectors and innovative inspection procedures, and investigate means to improve the collection and analysis of casualty data.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	 AMOUNT ($000)
Commercial Vessel Safety	1991	150
Commercial Vessel Safety	1992	465
Pollution Prevention: Marine Vessels	1992	675
Marine Safety Research	1993	880
Marine Safety OPA Level II	1993	380

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**Naval Architecture, Stability, Structures and Marine Engineering** – Continue research, development and evaluation of standards for small vessels, and new methods for prediction of life span of vessels' structural members. Develop improved procedures for loading and discharging tank vessels. *Includes two OPA-90 Level I elements ($150K) and five OPA-90 Level II elements (350K) in accordance with the OPA Interagency R&D Plan*	305

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1994	MARINE SAFETY	$1,695,000

PROJECT

MARINE SAFETY RESEARCH

Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO. PROJECT ELEMENTS	AMOUNT ($000)
2. Human Factors Analysis – Continue evaluation of minimum manning standards, qualifications and training for crew of automated ships, and human factors considerations for one person bridges. Develop an interactive Rules of the Road testing device. *Comprised of four OPA-90 Level I elements ($1,000K) in accordance with the OPA Interagency R&D Plan*	1,000
3. Marine Inspection/Inspector Support -- Continue developing innovative inspection procedures/techniques and improved methods to inspect vessels and determining means to provide inspectors with vessel background information. *Comprised of three OPA-90 Level I elements ($290K) in accordance with the OPA Interagency R&D Plan*	290
4. Operations Research/Analysis for Marine Safety -- Continue to develop methods to improve the collection, analysis, and processing of casualty data. *Comprised of one OPA-90 Level I element ($100K) in accordance with the OPA Interagency R&D Plan*	100
Total	1,695

DEPT. OF TRANSP. USCG. CGHQ-4836 (REV 2-91)
(FP G-CPA)

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $750,000

PROJECT

FIRE SAFETY TECHNOLOGY Page 1 of 2

INITIATIVE: Fires and explosions aboard commercial vessels and Coast Guard (CG) cutters pose a continuing threat to life and property. Research into fire safety will support the marine inspection program's goals to increase the level of safety of the total marine system and to achieve an international standard for vessel construction and inspection. Appropriate research will also support the naval engineering program's and safety program's goal to increase the level of fire safety on Coast Guard cutters. (These project elements have been combined into one project under the Marine Safety program to consolidate fire safety research activities. Coast Guard Cutter Fire Technology was included in the Mission Capabilities Assessment program area in FY 93).

OBJECTIVES:

* Improve safety on merchant ships and regulated small passenger vessels.

* Provide technical support for regulatory efforts and U.S. positions at the International Maritime Organization (IMO).

* Facilitate new technology while maintaining fire safety by developing the information needed to support changes in national and IMO regulations and Coast Guard specifications.

* Improve fire safety on Coast Guard cutters through better design, damage control readiness and materials specification.

* Provide automated tools for optimizing fire safety in the design of Coast Guard cutters.

BENEFITS: Reduced risk of loss of life, merchant vessels, cutters, cargo, and property caused by fire and explosion. Increased safety of U.S. ports due to safer foreign vessels. Estimated annual savings to industry of 3 lives and $3.5 million.

ACCOMPLISHMENTS

FY1992 & PRIOR: Drafted reports to IMO Subcommittee on Fire Protection on subjects which include: fire characteristics of non-steel pipes, integrated fire protection systems, smoke test protocols, ignition resistance of bedding, and fire integrity of structural divisions within a vessel. Participated in the IMO round-robin tests of standard for devices to prevent passage of flame. Research resulted in adoption of IMO standards on upholstered furniture (Res. A.652(16)) and flame spread (Res. A.653(16)), in acceptance of hose ports in fire doors, proposed international regulations increasing smoke control by prohibiting vents in doors, and prevented adoption of an ineffective ignition test of deck coverings. Research resulted in approval of two variable spray firefighting nozzles for use on commercial and Coast Guard vessels. Analyzed the repair locker inventory of small Coast Guard cutters and the fire safety of three classes of small CG cutters. Delivered prototype Ship Applied Fire Engineering (SAFE) system for optimizing fire safety in the design of CG cutters.

PLANNED FY1993: Conduct research on smoke control on passenger vessels and develop standards for limiting radiation through transparent bulkheads, and fire endurance of aluminum small passenger vessels. Analyze the remaining 6 classes of small CG Cutters. Develop fire fighting doctrine for 9 classes of small CG Cutters. Research and test alternatives to Halon systems such as sprinklered applied foams. Incorporate smoke movement into SAFE.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Improve Fire Safety for Commercial Vessels	1991	485
Coast Guard Cutter Fire Safety Engineering Methodology and Testing	1991	160
Improve Fire Safety for Commercial Vessels	1992	385
Coast Guard Cutter Fire Safety Engineering Methodology and Testing	1992	280
Improve Fire Safety for Commercial Vessels	1993	400
Coast Guard Cutter Fire Safety Engineering Methodology and Testing	1993	340

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Improved Fire Safety For Commercial Vessels – Conduct research in fire prevention and control, cargo safety, and advanced marine technology in support of developing and refining national and international regulations and policies...continue work on fire resistance of divisions and start effort to resolve inconsistencies and achieve international agreement in defining standards consistent with Safety of Life at Sea (SOLAS) requirements	390

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $750,000

PROJECT

FIRE SAFETY TECHNOLOGY

Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
2.	Coast Guard Cutter Fire Technology -- Explore solutions to problems identified annually by the CG Damage Control/Firefighting Working Group...continue development of a comprehensive fire safety engineering method to be used in the analysis of designs of Coast Guard cutters...continue research on alternatives to Halon fire protection systems, and analyze new lightweight and composite construction materials for CG cutters and Helo airframes	360
	Total	750

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $250,000

PROJECT

SUPPORT FOR THE INTERAGENCY SHIP STRUCTURE COMMITTEE (SSC)

INITIATIVE: The SSC is chaired by the Coast Guard and is cosponsored by the Naval Sea Systems Command, Military Sealift Command, Maritime Administration, and American Bureau of Shipping. Projects are prioritized and selected by the SSC from a list developed by the National Research Council's Marine Board Committee on Marine Structures. In support of vessel and offshore structure design review requirements, the Coast Guard requires research on design, fabrication, and quality assurance for vessels and marine structures and the materials used in their construction.

OBJECTIVES: Contribute to the interagency SSC's research program, so as to:

* Improve the materials, design, construction, and inspection methods/procedures of ships and other marine structures.

* Increase the safety, seaworthiness, and economy of operation of ships and marine structures.

BENEFITS: An aggressive research program to enhance the safety and seaworthiness of ships and other marine structures through developments such as improved design, construction, and inspection techniques and the use of new materials. Results, such as increased safety for the vessel, its crew and passengers; reduced potential for pollution through improved vessel structural integrity; and more efficient use of inspection personnel positively reflect on both the Coast Guard and the maritime community it serves. Multi-agency cost-sharing makes this a very cost-effective program. Multiple reviews by the SSC and the National Academy of Sciences ensure high quality research. Further cost benefits are often realized through shared funding by various societies and industry groups. SSC reports are widely distributed and highly regarded by the maritime community. They enhance our technical reputation and improve our ability to deal with industry in an oversight/regulatory capacity.

ACCOMPLISHMENTS

FY1992 & PRIOR: Over 375 technical reports issued by the SSC...distributed worldwide to shipyards, naval architects, universities, government bodies...in FY90-92, completed 44 studies and published 51 reports...included guides for marine inspection, ship design and analysis, welding, and materials of construction...convened symposiums on marine composite materials and ship inspection and maintenanca.

PLANNED FY1993: Perform the following studies: Improving Fatigue Behavior of Ship Structural Details; Maintenance of Marine Structures: State-of-the-Art Summary; Probability-Based Ship Design (Phase 3 of 4): Implementation of Design Guidelines; Evaluation of Ductile Fracture Models for Predicting Fracture Behavior of Ship Structural Details; Non-Linear Time Domain Simulation of Wave Loads; Extreme Waves and Wave Impact Forces Evaluation.

APPROPRIATION HISTORY

	APPROPRIATION	
PROJECT	YEAR	AMOUNT ($000)
Support for the Interagency Ship Structure Committee	1991	250
Support for the Interagency Ship Structure Committee	1992	250
Support for the Interagency Ship Structure Committee	1993	250

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
	Planned FY94 projects	250

1. The Role of Human Error in the Design, Construction, and Reliability of Marine Structures.
2. Probability-Based Ship Design (Phase 4 of 4): Novel Hull Forms.
3. Double Hull Vessel Assessment Methods for Collision and Grounding Protection.
4. Weld Metal Hydrogen Induced Cracking Predictions in Ship Hull Steels.
5. Evaluation of Ductile Fracture Models for Predicting Fracture Behavior of Ship Structural Details.
6. Optimized Design Parameters for Welded Thermomechanically Controlled Processed Steels.
7. Use of Ductile Fracture Methodologies to Develop Steels with Increased Tear Resistance.
8. New Methods for Retaining Weld Properties over the Range of Fabrication Conditions.

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1994	MARINE ENVIRONMENTAL PROTECTION	$2,275,000

PROJECT

MARINE ENVIRONMENTAL PROTECTION/POLLUTION RESPONSE Page 1 of 2

INITIATIVE: The EXXON VALDEZ oil spill and several other major oil spills focused national attention on our inability to respond to catastrophic spills. The Oil Pollution Act of 1990 (OPA-90) requires that research and development be conducted in accordance with an Oil Pollution Research and Technology Plan. Pollution response is a major Coast Guard area of responsibility under this plan.

OBJECTIVES:

* Upgrade the Coast Guard's ability to respond to oil and other hazardous materials spills through an integrated, comprehensive, RDT&E program. Projects are planned and accomplished on a cooperative basis with other federal agencies. This program is intended to interface with the federal Oil Pollution Research and Technology Plan mandated by the OPA-90 and may undergo further refinement or change resulting from evolution of the federal plan.

* Perform studies, support other agency studies, test and evaluate state-of-the-art equipment, and as necessary, develop new equipment to improve federal response capability to oil and hazardous materials discharges, mitigate the effects on the environment from these spills, and improve cleanup capabilities.

BENEFITS: Provides the required capability for timely response to oil and hazardous materials spills to minimize impact on the marine environment. Provides response personnel with the necessary training and appropriate protective equipment to ensure occupational safety and health.

ACCOMPLISHMENTS

FY1992 & PRIOR: Completed R&D analysis of EXXON VALDEZ incident and current technology survey...started development of needed technologies identified by the incident analysis that will produce high return; areas of emphasis include: spill planning and management, damaged vessel countermeasures, surveillance, in-situ burning, chemical technology, temporary storage, and mechanical recovery. Damaged Vessel Countermeasures: Completed technology review and engineering feasibility assessment for onboard tanker spill countermeasure system. Oil Spill Recovery: tested and evaluated Strike Team and buoy tender equipment and supported Oil and Hazardous Materials Simulated Environmental Test Tank (OHMSETT) facility. Conducted multi-agency study to assess and develop existing and new hazardous materials spill countermeasures.

PLANNED FY1993: Spill Planning and Management: Begin developing criteria to optimize organizational structure and support system (including decision support tools, logistics, contingency planning methodology, communications, training systems, etc.) to ensure that the CG can effectively deal with a spill of national significance...complete Innovative Training Systems study and begin Training Simulation Course development to enhance personnel training capabilities...identify requirements for a catastrophic spill management system and complete development of a prototype contingency plan. Oil Spill Recovery Systems RDT&E: Evaluate new technologies such as new oil/water separators. Alternative Countermeasures: complete full-scale burn tests and develop in-situ burning decision protocols.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	AMOUNT ($000)
MEP Pollution Response	1991	2,000
MEP Pollution Response/MEP Initiatives	1992	2,855
MEP Pollution Response	1993	2,065
MEP OPA Level II	1993	1,320

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO. PROJECT ELEMENTS	AMOUNT ($000)
1. Planning, Management, and Training - Complete development of a risk assessment methodology for use in conjunction with the National Strike Force Coordination Center (NSFCC) Configuration Model to determine scenarios with the risk ports that are identified. Continue development of the National Strike Force Coordination Center (NSFCC) Configuration System: a computer based, interactive analysis model that can be used to answer questions concerning the purchase, siting and mix of training and develop system for use by field personnel to simulate spill conditions for training purposes. Investigate systems and technologies to facilitate deployment and management of equipment, personnel and logistic resources during a major spill, starting with a visual display system. Proceed with development of a technical approach to define elements of the total system in order to develop the specifications for the system. *Comprised of three OPA-90 Level I elements in accordance with the OPA Interagency R&D Plan......*	700

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE ENVIRONMENTAL PROTECTION	AMOUNT REQUESTED $2,275,000

PROJECT

MARINE ENVIRONMENTAL PROTECTION/POLLUTION RESPONSE — Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
2.	Personnel Health and Safety - Investigate and analyze the health and safety issues associated with spill response. Develop database to enhance personnel protection. *OPA-90 Level I element in accordance with the OPA Interagency R&D Plan.*	100
3.	Surveillance - Build upon previously conducted surveillance requirement study and sensor studies to develop upgraded remote sensing spill surveillance system. FY94 Phase involves interim system integration and testing. *OPA-90 Level I element in accordance with the OPA Interagency R&D Plan*	350
4.	Containment/Treatment/Recovery - Evaluate near-ship mechanical containment and complete development and testing of advanced prototype devices for separation of oil from water and debris handling systems. Continue in-situ and meso-scale burn tests of weathered oil to develop decision protocol for burning oil. *Comprised of two OPA-90 Level I elements ($400K) and two OPA-90 Level II elements ($200K) in accordance with the OPA Interagency R&D Plan*	425
5.	Hazardous Chemical Countermeasures and Safety - Develop core effort in assessing and developing hazardous materials spill countermeasures technology in cooperation with other U.S. and Canadian agencies.. ..	300
6.	Demonstration Projects - Section 7001(c)(b) of the Oil Pollution Act of 1990 directs the Coast Guard to demonstrate new oil pollution prevention and cleanup methods and technologies. These demonstration projects are to be conducted in New York/New Jersey, Los Angeles/Long Beach, New Orleans, and ports to be determined on the Great Lakes. *OPA-90 demonstration project in accordance with the OPA Interagency R&D Plan*	400
	Total	2,275

EPT. OF TRANSP., USCG, CGHQ-4836 (REV 2-91)
(FP G-CPA)

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MARINE ENVIRONMENTAL PROTECTION	AMOUNT REQUESTED $500,000
PROJECT OPA-90 REGIONAL GRANT PROGRAM		

INITIATIVE: Subsections 7001(c)(8) & (9) of Title VII of the Oil Pollution Act of 1990 (OPA-90) authorized the establishment of the regional research program. Consistent with the Oil Pollution Research and Technology Plan mandated by subsection 7001(b) and subject to appropriations, the Interagency Coordinating Committee on Oil Pollution Research is directed to coordinate a program of competitive grants to universities and other research institutions for the purpose of conducting a comprehensive research program related to the regional aspects of oil pollution, such as prevention, removal, mitigation, and the effects of discharged oil on regional environments. This request represents a portion of the coordinated federal research effort envisioned by OPA-90.

OBJECTIVES:

- Encourage, through an annual solicitation for grant applications, research proposals in the areas of: spill prevention; spill response planning and management; spill response activities; fate, transport and effects of oil; and restoration and rehabilitation of the environment.
- Accomplish the Coast Guard portion of the federal Oil Pollution Research and Technology Plan mandated by OPA-90. (This program may undergo further refinement or change due to evolution of the federal plan.)

BENEFITS: Minimized risk of oil spills through improved vessel safety, personnel performance, vessel inspection and operations. Timely response to oil spills to minimize impact on the marine environment. Enhanced occupational safety and health for response personnel.

ACCOMPLISHMENTS

FY1992 & PRIOR: New Project.

PLANNED FY1993: The grant program is under development in FY1993. Proposals will be solicited in response to problem statements based on the Interagency Committee Oil Spill R&D Plan and subjected to peer review.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	 AMOUNT ($000)
OPA-90 Regional Grant Program	1993	750

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Grants Program – Fund Coast Guard portion of OPA-90 Grants program *in accordance with the OPA Interagency R&D Plan.*	
	Total	500

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA ENFORCEMENT OF LAWS AND TREATIES	AMOUNT REQUESTED $1,100,000

PROJECT

COMPREHENSIVE LAW ENFORCEMENT CAPABILITIES IMPROVEMENTS (COMPLAW) Page 1 of 2

INITIATIVE: The Coast Guard continues to operate against sophisticated adversaries in the law enforcement (LE) area. To maintain an effective LE force, the Coast Guard must continually evaluate and identify the latest vessel, aircraft, and contraband detection and interdiction methods. An aggressive research program is needed to adapt both government and industry advances to our LE needs. In addition, new opportunities for cooperative research into drug LE technologies among federal agencies encourage Coast Guard involvement in joint research programs.

OBJECTIVES:

- Improve the Coast Guard's capability in surveillance, inspection, and apprehension of vessels/personnel involved in illegal alien, fisheries, and drug activities through application of new technologies. These technology areas include: surveillance and vessel search.
- Participate in coordinated federal development efforts with other LE agencies and the Department of Defense (DoD) through the Office of National Drug Control Policy (ONDCP) Science and Technology Committee to maximize return on investment. Where feasible, the developmental work of other government agencies (U.S. Customs Services, ONDCP, CIA, DoD, etc.) is evaluated and adapted for Coast Guard use. Joint agency research, where appropriate, is also conducted.
- Develop measures of effectiveness to validate mission requirements, support operational planning, assessment and resource requirements determination.

BENEFITS: New and improved sensors with increased detection ranges, long range classification and identification, and rapid detection of hidden contraband will enhance LE effectiveness. Multi-agency coordination and cooperative system development will yield higher returns for federal R&D dollars. Valid Measures of Effectiveness will improve mission performance.

ACCOMPLISHMENTS

FY1992 & PRIOR: Tested Inverted Synthetic Aperture Radar (ISAR) (APS-137) on cutter...evaluated drug detector technologies...completed surface search radar (AN/SPS-64V) upgrade project....evaluated LE kit equipment for boarding teams....completed joint agency test and evaluation (T&E) of underwater remotely operated vehicle ... continued development of prototype contraband drug detection equipment under Small Business Innovation Research (SBIR) contract...completed Phase I SBIR for covert taggant (systems that allow law enforcement agencies to uniquely identify (tag) platforms of interest)...evaluated digital imaging cameras and data transmission system.

PLANNED FY1993: Develop and test technology needed to detect/identify hard to locate marine and air targets (wooden boats, small aircraft) from CG cutters and aircraft ... optimize advanced radar capability for LE. Complete T&E of neutron backscatter and surface acoustic wave drug detector. Evaluate laser line scanner technology kscatter and surface acoustic wave drug detector. Evaluate laser line scanner technology for underwater search. Develop digital photo collection requirements, equipment and analysis methods. TECHEVAL of parabolic listening equipment, examined CG unmanned aerial vehicle requirements. EC-130(v) mission capabilities assessment. Conduct baseline study of contraband phenomanology (fate & behavior)...wide area detection market survey.

APPROPRIATION HISTORY

	APPROPRIATION	
PROJECT	YEAR	AMOUNT ($000)
Enforcement of Laws and Treaties	1990	1,250
Enforcement of Laws and Treaties/Resource Modeling	1991	1,460
Enforcement of Laws and Treaties	1992	1,700
Enforcement of Laws and Treaties	1993	1,300

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1994	ENFORCEMENT OF LAWS AND TREATIES	$1,100,000

PROJECT

COMPREHENSIVE LAW ENFORCEMENT CAPABILITIES IMPROVEMENTS (COMPLAW) Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Technology for Surveillance – Evaluate technologies and devices in three areas: detection, classification and identification. Identify for acquisition consideration, devices/systems which increase effectiveness of operational units. Final technical report for APS-137(H) enhancements. Conduct T&E of wide range advanced active/passive detection/classification system. Conduct T&E of 3-5 micron Shipboard Infra-Red Imaging System (SIRIS) classification device.	450
2.	Technology for Vessel Search – Conduct RDT&E to assist CG boarding teams in identifying and locating contraband hidden on vessels. This effort involves field testing and conducting analysis of contraband detection equipment developed in in prior years. Assess technologies that can be used to support the detection of hidden illegal aliens and in support of living marine resources enforcement.	200
3.	Development Measures of Effectiveness – Develop an implementation plan for assessing performance of the law enforcement program, including: an LE mission requirements validation, and evaluatioon of other agency efforts as a first step in development of a preliminary set of Measures of Effectiveness (MOE).	200
4.	Sensor Information Integration – Assess the technology and devices available to collect, store and process (through integration and fusion) tactical data "near real" time from existing sensors. Start requirements analysis. Conduct sensor system proof of concept.	250
	Total	1,100

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MISSION CAPABILITIES ASSESSMENT	AMOUNT REQUESTED $500,000

PROJECT

ENGINEERING SUPPORT (Including Servicewide Hazardous Materials Minimization) Page 1 of 2

INITIATIVE: The Coast Guard operates a fleet of approximately 250 cutters, 225 aircraft and over 2,000 small rescue and utility craft. Proper maintenance and operation of this fleet requires the resolution of engineering problems as they arise; monitoring, evaluation and improvement of platform performance capabilities; and continuous efforts to improve engineering systems. As platforms and systems are replaced, it is necessary to evaluate emerging technology associated with candidate craft and systems prior to acquisition to ensure they meet the needs of the service. Environmental compliance, restoration and waste disposal practices are costing the Coast Guard millions of dollars each year. We must investigate alternative materials and procedures to reduce the use of hazardous materials and the attendant disposal requirements.

OBJECTIVES:

- Perform full scale tests and evaluations (T&E's) on new technological aspects of Coast Guard vessels.
- Evaluate hydrodynamic performance and design characteristics for proposed replacement designs and existing vessels.
- Provide a technology base for analyzing and correcting problems on existing subsystems.
- Identify potential enhancements to vessels, aircraft, equipment and materials to improve mission performance.
- Identify potential non-hazardous material replacements, process changes and adequate disposal methods for hazardous wastes, avoid disposal and tracking costs, and decrease hazards to personnel handling hazardous materials.
- Choose a representative cross-section of Coast Guard units to analyze in detail those functions and processes that utilize hazardous materials and generate hazardous wastes.
- Obtain a detailed understanding of the role of all hazardous wastes and recommend specific procedural changes such as reuse or recycling, where possible.

BENEFITS: Establishment of a credible database for management and acquisition decisions...more efficient and safer Coast Guard fleet...maintenance of in-house expertise for fleet support and contract oversight....identification of potential non-hazardous material replacements...decreased personnel hazards...more efficient hazardous wastes handling and disposal practices, leading to reduced costs and improved work environment.

ACCOMPLISHMENTS

FY1992 & PRIOR: Conducted T&E's, lead ship evaluations, alternative craft studies and subsystems analyses...evaluated subsystem efficiency improvements (advanced propulsor, armor protection, and aircraft corrosion)...corrected fleet problems with Surface Effects Ship (SES) lift fan, Island Class hull structure and propeller cavitation...developed vessel databases...conducted model tests to predict/analyze vessel behavior...assessed the impact of SES modifications...continued research to develop vessel subsystem improvements...developed design tools for evaluation of replacement craft...updated the 1985 Hazardous Waste Management Profile. Identified present and likely future requirements...selected units to analyze in detail and completed a Unit Hazardous Materials/Waste Report.

PLANNED FY1993: Choose a representative cross-section of Coast Guard units to analyze in detail those functions and processes that utilize hazardous materials and generate hazardous wastes to obtain a detailed understanding of the role of all hazardous materials used and why hazardous wastes are generated. Establish sources of the hazardous material/hazardous waste and identify non-hazardous materials alternatives to accomplish the same result. Recommend specific procedural changes such as reuse or recycling and specific process changes to eliminate hazardous materials use or waste generation. Recommend more efficient and cost effective handling and disposal guidelines.

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MISSION CAPABILITIES ASSESSMENT	AMOUNT REQUESTED $500,000

PROJECT

ENGINEERING SUPPORT (Including Servicewide Hazardous Materials Minimization) **Page 2 of 2**

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Engineering Support	1991	600
Test, Engineering and Design Support	1992	750
Engineering Support	1993	400
Servicewide Hazardous Materials Minimization	1993	500

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Hazardous Waste Management Plan - Continue analysis of site specific CG processes that generate hazardous wastes...identify and evaluate potential process changes or material substitutions for reduction of hazardous waste generation	200
2.	Analysis of Coast Guard Hazardous Materials Use - Identify and analyze use of hazardous materials Coast Guard-wide...identify applicable procurement documents and specifications...determine cost benefit and impact on vessels, aircraft and shore facility operations of the substitution of non- or less-hazardous materials	300
	Total	500

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. 2-91)
(FP G-CPA)

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MISSION CAPABILITIES ASSESSMENT	AMOUNT REQUESTED $400,000

PROJECT

CG VESSEL LOSS EXPOSURE AND RISK ANALYSIS

INITIATIVE: The Coast Guard (CG) wishes to reduce personnel, property, operations, and environmental losses associated with mishaps aboard CG vessels.

OBJECTIVES:

- Develop a risk analysis methodology to identify those areas on CG vessels where operations, engineering, or management systems may be modified to reduce personnel, property, operations, and environmental losses to an acceptable level. The methodology will identify the most cost efficient way to accomplish this objective. The cost/benefit will be prioritized according to risks which have the greatest potential impact on personnel, property, operations, and the environment.
- Develop a safety standards compliance rating system; Identify data needs and parameters to establish a CG vessel safety management database.

BENEFITS: Lives saved, injuries and mishaps avoided. Reduction in vessel mishap costs associated with personnel, operations, property, and environmental losses.

ACCOMPLISHMENTS

FY1992 & PRIOR: Select Project for FY1992.

PLANNED FY1993: Begin to compile and analyze past/current CG vessel mishaps to determine the potential risk of mishaps and identify their trends.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Select Project Research and Development	1992	50
CG Vessel Loss Exposure and Risk Analysis	1993	120

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**Coast Guard Vessel Hazards** – Compile and analyze mishap data from CG vessels and small boats...define and categorize to provide a hazard hierarchy. Factors to be considered include manning, training, shipboard organization of crew, environment both in port and underway, construction of vessel with regard to safety features, and the use of vessels...develop method for grouping hazards into risk levels for assessment of impact on operational missions.	
	Total	400

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MISSION CAPABILITIES ASSESSMENT	AMOUNT REQUESTED $2,020,000

PROJECT

PRE-ACQUISITION SUPPORT

INITIATIVE: Continue the recent improvements to the Coast Guard (CG) system of mission analysis in support of strategic planning and capital investment decisions. Improve the overall effectiveness and efficiency of mission performance.

OBJECTIVE:

* Develop standard scenarios and measures of effectiveness that can be used in analysis of all CG missions.

* Develop analytical methods for baseline evaluation of the performance of the current doctrines for operations and for the current assets including operating and maintenance costs.

* Identify how new technologies/methodologies can lead to more efficient ways of managing and operating CG resources to fulfill mission objectives and identify alternate resources to meet capability gaps.

BENEFITS: Better definition of Coast Guard mission needs...improved methods for operations...greater objectivity and intellectual rigor in defining and justifying acquisition needs...improved overall pre-acquisition and acquisition planning...significant potential savings due to more accurate definition of mission need and improved doctrine for mission execution...well-documented and properly justified acquisitions.

ACCOMPLISHMENTS

FY1992 & PRIOR: New start.

PLANNED FY1993: New start.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
New start.		

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Mission Analyses for Programs using Major Cutters – The 378' High Endurance and 210' Medium Endurance Cutters (HEC/MECs), which perform a significant portion of the CG's operational programs at sea, are projected to begin reaching the end of their useful life early in the next century. In addition, it is anticipated that the 270' class of MECs will require a mid-life availability around the turn of the century. Since the process of acquiring replacement capability can be as long as fifteen years, it is necessary to begin analyses of the mission functional requirements, identification of alternatives, gap analysis and performance measures in FY94.	1,150
2.	International Ice Patrol (IIP) Mission Analysis – Assess the efficiency and effectiveness of current IIP functions and methods and consider alternate methods for improving the efficiency and effectiveness of the ice detection and tracking mission. This will include analyses of: IIP's current effectiveness in performing its missions, the relationship between IIP operational effectiveness and maritime safety, the effect of new sensor technology on operational effectiveness, and the cost and operational effectiveness of alternate methods of performing iceberg detection and tracking.	250
3.	Waterways Management Mission Analysis – Investigate marine navigation issues and technologies that may alter port and harbor design and operation in the 21st century, evaluate effectiveness of current short range and electronic navigation systems, and investigate alternate designs and management strategies to determine the optimum mix of technologies and systems required to improve marine safety while reducing costs, improving port operations, and furthering the goals set forth in the National Transportation Plan.	620
	Total	2,020

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $695,000

PROJECT

INCREASED HUMAN RESOURCE MANAGEMENT EFFECTIVENESS

INITIATIVE: Personnel costs account for over fifty percent of the Coast Guard's Operating Expenses budget. A strong personnel research program is needed to provide efficient, up-to-date personnel management and training.

OBJECTIVES:

* Develop a standardized framework for determining staffing requirements for Coast Guard units.

* Consider Manpower, Personnel and Training Factors when evaluating major acquisitions.

* Introduce improved training products and technologies into the Coast Guard to reduce training costs and improve on-the-job performance.

* Evaluate policy options for effect on productivity, cost, and quality of work life, and include these considerations in system design.

BENEFITS: Ensures better forecasting and control of personnel costs; integration of personnel needs into major system acquisition and logistics decisions; ability to standardize staffing requirements for Coast Guard units; better career paths for improved professionalism; reduced school time with embedded training, and improved productivity.

ACCOMPLISHMENTS

FY1992 & PRIOR: Developed a catalog of operational military work force models currently in use in the Federal government...developed CG-specific model specifications, personnel system productivity measures, a manpower requirements model, a personnel allowance list generator model, a distribution of personnel model, personnel impact of acquisition model specifications and capability demonstration...developed "RAPIDS" Officer Inventory System interim flow model...completed occupational analyses of 8 enlisted rates...began integrating civilian workforce structure into military models...examined productivity measurement programs used in DoD and elsewhere... conducted aviation staffing study.

PLANNED FY1993: Develop Individual Rate Generator Model and Individual Level Project Model. Develop process to incorporate Manpower, Personnel, Training and Human Factors into all acquisitions. Complete staffing standard development for support ratings.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Human Resource Management	1992	1,075
Increase Human Resource Management Effectiveness	1993	970

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Human System Integration (HSI) – Begin implementing/incorporating Manpower, Personnel, Training, Human Factors Engineering, and Safety/Health Hazards requirements developed in FY93 into CG acquisition process...the HSI model shall be developed to include equipment/systems/subsystems in the total Coast Guard acquisition program... use ongoing CG acquisitions to demonstrate the HSI model	300
2.	Advanced Training Technology – Introduce new and proven training techniques into the CG...survey the latest tested and proven training products, technologies, and methods that have promise for improving performance and reducing training costs...test and evaluate selected training approaches at appropriate locations in the CG	245
3.	Staffing Standards Development – Develop a methodology and technical approach for determining staffing requirements for Coast Guard units to include a standardized contracting framework to expedite efficient and effective implementation of that methodology	150
	TOTAL	695

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1994	MULTI-MISSION	$1,985,000

PROJECT

INFORMATION SYSTEMS TECHNOLOGY AND DEVELOPMENT Page 1 of 2

INITIATIVE: Decision makers, at all levels of command, need timely, accurate information. Advances in information technology provide the opportunity for development of integrated Command, Control, and Communications (C3)/Information Resource Management (IRM)systems. These systems can provide decision makers and information managers (communicators, operators, administrators) with more timely and accurate information.

OBJECTIVES:

* Conduct up-front requirements analyses and concept explorations of Strategic IRM Management Plan projects to support Coast Guard programs in meeting their strategic IRM needs. Reduce costs of IRM systems by identifying cross-functional applications and correctly determining IRM system requirements.

* Reduce manual processing of information while increasing accuracy, availability and timeliness of information to decision makers.

* Develop and demonstrate prototypes, if necessary, to evaluate concepts.

* Assess new information technologies for application to CG needs.

BENEFITS: Potential for enhanced productivity...reduced user data handling...less duplication through data sharing and a truly integrated approach to data storage and communications...faster and more complete data transmission with fewer errors...more automated date gathering...more comprehensive, accurate, timely information to the decision maker.

ACCOMPLISHMENTS

FY1992 & PRIOR: Developed and deployed phase I Law Enforcement Information System (LEIS) II pilot...implemented and installed pilot of Merchant Mariners Licensing and Documentation system...developed and installed pilot system for Health management... analyzed and designed concept for Operational Information System (OIS)...completed requirements analysis and high level design for Ports and Waterways Information System (PAWMIS)... analyzed Computer Aided Software Engineering (CASE) tools...evaluated Facilities Management Information System (FMIS) pilot.

PLANNED FY1993: Develop and install OIS pilot at selected group...completed final pilot phases of Health system and specifications...provide field access to FMIS pilot...complete Computer Aided Search Planning (CASP) environmental interface and motion model prototypes.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Command, Control and Communications/Information Resources Mgmt	1991	2,285
Command, Control and Communications/Information Resources Mgmt	1992	1,950
Information Resources Management (IRM) Mission System Planning, Analysis and Design	1993	3,600

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**Strategic Information Resource Management Planning (SIRMP) Recommended Information Systems Concepts** - Conduct requirements analyses and concept exploration for approved applications...identify and evaluate alternative approaches for information system development...where needed to determine cost/benefit, construct and operate testbeds for system feasibility and demonstration...possible areas of investigation include: Mission Support System; Reserve Training Assignment Support System; Readiness Measurement and Display Systems Study; and Marine Safety Information Technology Enhancements	1,150

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $1,985,000

PROJECT

INFORMATION SYSTEMS TECHNOLOGY AND DEVELOPMENT

Page 2 of 2

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
2.	Operational Information System – Evaluate the design concept demonstrated in the group/station pilot system, which integrates Search and Rescue/Law Enforcement...document system cost/benefit...document design concept for next phase...extend group/station pilot system to district/area...investigate methods for automated data entry for vessel inspectors. *Includes one OPA-90 Level I element ($35K) in accordance with the Interagency Plan*	835
	Total	1,985

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1994	MULTI-MISSION	$300,000

PROJECT

ADVANCED COMMUNICATION TECHNOLOGIES

INITIATIVE: Communications systems must be reliable, accurate, easy to use, and in some cases, secure. A communications research program is needed to ensure that existing technology and industry standards are evaluated and, where feasible and appropriate, applied to Coast Guard use.

OBJECTIVES:

- Provide the communication links for the Coast Guard's Information System (IS) by establishing communication paths suitable for information (voice, data and imaging) to flow between all data collection, storage, and processing centers in the organization.
- Support follow-on developments of the American Mobile Satellite Corporation (AMSC), a low cost, two-way voice and data satellite communication system; test and evaluate the system for Coast Guard applications.
- Evaluate Coast Guard sensor data link needs and available technology.
- Evaluate candidates to support remote infrared and ultraviolet imaging and other applications.
- Perform a biannual market survey of new communication technologies and systems applicable to Coast Guard needs.
- Evaluate networking and internetworking technology for integrating communications and information resource management systems into a cohesive, effective and efficient command and control system.

BENEFITS: New technology would allow critical Command, Control and Communications (C3) without compromising the Coast Guard's presence or location...provide operational commanders and decision makers with immediate access to remote sources of sensor data resulting in prompt and proper response...increased ability to deal effectively with the increasing volume of data and voice communications required of multi-mission Coast Guard units.

ACCOMPLISHMENTS

FY1992 & PRIOR: Demonstrated a commercial satellite communication (SATCOM) inter-network testbed...tested and evaluated a meteor burst comms system...tested interfaces for global positioning system/differential global positioning system receivers to SATCOM, Radio Determination Satellite Systems, Very High Frequency-Digital Selective Calling (VHF-DSC)... produced updated technology reference document.

PLANNED FY1993: Document/survey shipboard communication centers...test and evaluate new communications systems including low earth orbiting commercial SATCOM and spread spectrum systems.

APPROPRIATION HISTORY

	APPROPRIATION	
PROJECT	YEAR	AMOUNT ($000)
Advanced Communication Technologies	1991	400
Advanced Communication Technologies/Surveillance Integration	1992	395
Advanced Communication Technologies	1993	330

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	($000)	AMOUNT ($000)
1.	**Communications System for 2010** - Develop a communications architecture for ships, aircraft, and shore facilities meeting all international, federal and industry standards that provides interoperability with DoD, civil law enforcement agencies, and the maritime public....analyze necessary networks, message distribution centers, data management centers, gateways, nodes, and other associated communications components.		
	Total		300

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $500,000
PROJECT SELECT PROJECT RESEARCH AND DEVELOPMENT		

INITIATIVE: The normal 19 month budget cycle for RDT&E funding is too lengthy to address special R&D opportunities with short turnaround time requirements. These initiatives arise from the need to address unforeseen problems requiring a quick response, to examine promising research opportunities that are only feasible if funded immediately due to a narrow "window of opportunity", to perform exploratory studies to guide R&D decisions, to allow small field-initiated projects, and to adequately assess the impact of rapidly changing technologies. Provide capability to pursue areas of technology needed to solve present and future problems.

OBJECTIVES:

- Investigate research opportunities not specifically programmed or budgeted for that would otherwise be missed due to normal funding lead times, and define relevant areas of current and emerging technologies.
- Assess the impact of environmental and technological changes on Coast Guard missions.
- Evaluate potential select projects on a case-by-case basis to determine cost, risk and potential payoff.

BENEFITS: Efforts in this area will identify and address research opportunities in rapidly changing technologies and environments. Results will allow the Coast Guard to perform missions more efficiently or effectively...specific benefits will be examined on a project-by-project basis to ensure they merit the investment. Historically, select projects have proven to produce good results for the amount invested.

ACCOMPLISHMENTS

FY1992 & PRIOR: Evaluated ocean drifter and satellite-tracked drift buoys for data-gathering capabilities on iceberg drift and ocean currents...tested the Shipboard Lightweight Electronic Warfare System (SLEWS) for Coast Guard applications ...constructed series of towing tank models and conducted full scale maneuvering trials to study maneuvering characteristics of Mariner Class vessel...provided core support to Marine Board, National Academy of Sciences and funded Marine Board studies on Advances in Navigation and Piloting and Tanker Spill/Prevention by Design...developed and tested a thermoelectric generator for major aids to navigation in remote locations...began collecting baseline data for Norwegian Crew (NORCREW) Concept Evaluation project.

PLANNED FY1993: Continue/complete efforts initiated in FY92...continue to investigate special research opportunities ...define relevant areas of technology...assess impact on Coast Guard missions of environmental and technological changes.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	AMOUNT ($000)
Select Project Research and Development	1991	750
Select Project Research and Development	1992	675
Select Project Research and Development	1993	460

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	Select Projects - Respond to well-defined problems with a large payoff to Coast Guard requiring short-term solutions...investigate high payoff research opportunities that are cost-effective, only if addressed immediately...continuously assess impacts of emerging technological changes.	
	Total	500

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $1,600,000

PROJECT

PROGRAM SUPPORT AND OPERATIONS

INITIATIVE: Funds are required to operate the RDT&E Program. This includes funds for office and laboratory space, support services, training, equipment, and supplies. The RDT&E program also needs a coherent, integrated information management system to support project planning and execution.

OBJECTIVES: Provide necessary in-house facilities and resources for the execution of the Coast Guard RDT&E Program.

BENEFITS: Provides support resources (lease, utilities, maintenance contracts, computer support, training, supplies, etc.) for the R&D Program...provides capability to pursue areas of technology needed to solve present and future problems...improves ability to track project plans through the budget process and ensure that executed projects comply with authorized objectives and funding levels.

ACCOMPLISHMENTS

FY1992 & PRIOR: Provided operating funds for the RDT&E Program.

PLANNED FY1993: Continue to provide operating funds for the RDT&E Program.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Program Support and Operations	1991	1,500
Program Support and Operations	1992	1,550
Program Support and Operations	1993	1,500

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**Support and Operate the R&D Program** - Provide operating funds to support RDT&E efforts...continue CG R&D Center operations and Headquarters budget and coordination functions	1,600

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1994	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $7,840,000

PROJECT

PERSONNEL AND RELATED COSTS

INITIATIVE: Adequate pay, benefits and related costs are needed for authorized civilian and military staff.

OBJECTIVES: Provide necessary personnel resources for the execution of the Coast Guard RDT&E program, and for meeting important pre-acquisitional and acquisitional support needs of the Coast Guard.

BENEFITS: Provides an expert staff to plan, monitor, and conduct research and development supporting Coast Guard missions and acquisitions. Provides capability to pursue areas of technology needed to solve present and future problems.

ACCOMPLISHMENTS

FY1992 & PRIOR: Managed and administered the RDT&E support program...conducted in-house research at the Coast Guard Research and Development Center...served as technical representatives for R&D contracts.

PLANNED FY1993: Manage and administer the RDT&E support program...provide technical representatives for R&D contracts.

APPROPRIATION HISTORY

PROJECT	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Personnel and Related Costs	1991	6,060
Personnel and Related Costs	1992	7,200
Personnel and Related Costs	1993	7,705

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROJECT ELEMENTS	AMOUNT ($000)
1.	**Personnel and Related Costs** – Support a total of 48 military and 90 civilian full time equivalent (FTE) for RDT&E efforts...provide the Headquarters planning and coordination staff and the Coast Guard R&D Center staff support for contract monitoring and project work, support the Fire and Safety Test Detachment for shipboard fire testing, and augment the Coast Guard Academy staff for procurement support.	
	Total	7,840

DEPT OF TRANSP., USCG. CGHQ-4826 (REV 2-81)
(FP G-CPA)

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OIL SPILL LIABILITY TRUST FUND

Unavailable Collections (in thousands of dollars)

Identification code: *20-8185-0-7-304*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Balance, start of year:			
	U.S. Securities:			
01.00	Treasury balance	612	55,155	....
01.01	Par value	636,044	810,803	1,034,973
01.02	Unrealized discounts	−22,566	....	....
01.99	Total balance, start of year	614,090	865,958	1,034,973
	Receipts:			
02.01	Oil barrel fees	295,195	234,000	279,900
02.02	Interest on investment	41,127	80,000	95,700
02.03	Fines and penalties	1,916	2,200	2,600
02.04	Recoveries	14,138	20,000	24,000
02.99	Subtotal receipts	352,376	336,200	402,200
	Total:			
04.00	Excluding unrealized discounts	966,466	1,202,158	1,437,173
	Appropriations:			
05.01	Emergency fund	−16,294	−50,000	−50,000
05.02	Payment of claims	−82	−25,000	−25,000
05.03	Operating expenses	−31,876	−25,000	−25,000
05.04	Acquisition, construction and improvements	−33,822	−35,640	−20,000
05.05	Research, development, test and evaluation	....	−5,595	−4,457
05.06	EPA	−18,434	−20,000	−20,000
05.07	Minerals management service	....	−5,400	−5,400
05.08	Research and special projects administration	....	−550	....
05.99	Subtotal, appropriations	−100,508	−167,185	−149,857

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OIL SPILL LIABILITY TRUST FUND

Unavailable Collections (in thousands of dollars) (Con't)

Identification code: *20-8185-0-7-304*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Appropriation (Cont):			
	Balance, end of year:			
	U.S. securities:			
07.00	Treasury balance	55,155	....	....
07.01	Par value	810,803	1,034,973	1,088,029
07.99	Total balance, end of year	865,958	1,034,973	1,088,029

COAST GUARD -- Oil Spill Liability Trust Fund

PROGRAM AND PERFORMANCE

The Omnibus Budget Reconciliation Act of 1989, Public Law 101-239, triggered collection of a 5 cent tax on each barrel of oil entering the U. S. ports to be deposited into the Oil Spill Liability Trust Fund. Resources from the Oil Spill Liability Trust Fund are used to finance oil pollution prevention and cleanup responsibilities by various Federal agencies. In accordance with the provisions of the Act, the Fund may finance annually up to $50 million of emergency resources and all valid claims from injured parties resulting from oil spills.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
TRUST FUND SHARE OF EXPENSES

Program and Financing (in thousands of dollars)

Identification code: 69-8314-0-7-304		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
00.01	Operating expenses	31,876	25,000	25,000
00.02	Acquisition, construction and improvements	33,822	35,640	20,000
00.03	Research, development, test and evaluation	...	5,595	4,457
10.00	Total obligations (object class 25.0)	65,698	66,235	49,457
	Financing:			
40.00	Budget authority (appropriation)	65,698	66,235	49,457
	Relation of obligations to outlays:			
71.00	Total obligations	65,698	66,235	49,457
90.00	Outlays	65,698	66,235	49,457

DEPARTMENT OF TRANSPORTATION
COAST GUARD
EMERGENCY FUND

Program and Financing (in thousands of dollars)

Identification code 69-8313-0-7-304		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
10.00	Total obligations (object class 25.2)	18,450	50,000	50,000
	Financing:			
21.40	Unobligated balance available, start of year	–38,018	–35,862	–35,862
24.40	Unobligated balance available, end of year	35,862	35,862	35,862
60.05	Budget authority (appropriation) (indefinite)	16,294	50,000	50,000
	Relation of obligations to outlays:			
71.00	Total obligations	18,450	50,000	50,000
72.40	Obligated balance, start of year	15,321	18,024	18,024
74.40	Obligated balance, end of year	–18,024	–18,024	–18,024
90.00	Outlays	15,747	50,000	50,000

DEPARTMENT OF TRANSPORTATION
COAST GUARD
PAYMENT OF CLAIMS

Program and Financing (in thousands of dollars)

Identification code 69-8312-0-7-304	*1992 actual*	*1993 estimate*	*1994 estimate*
Program by activities:			
10.00 Total obligations (object class 42.0)	82	25,000	25,000
Financing:			
60.05 Budget authority (appropriation) (indefinite)	82	25,000	25,000
Relation of obligations to outlays:			
71.00 Total obligations	82	25,000	25,000
90.00 Outlays	82	25,000	25,000

DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND

Program and Financing (in thousands of dollars)

Identification code 69-5168-0-2-304		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
71.00	Total obligations	...	...	...
72.40	Obligated balance, start of year	57	30	...
74.40	Obligated balance, end of year	−30	...	...
90.00	Outlays	27	30	...

Boat Safety

(AQUATIC RESOURCES TRUST FUND)

For payment of necessary expenses incurred for recreational boating safety assistance under Public Law 92-75, as amended, $32,250,000, to be derived from the Boat Safety Account and to remain available until expended. *(Department of Transportation and Related Agencies Appropriations Act, 1993.)*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
AQUATIC RESOURCES TRUST FUND

Unavailable Collections (in thousands of dollars)

Identification code: *20-8147-0-7-403*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Balance, start of year:			
	U.S. securities:			
01.00	Treasury balance	10,279	3,958	...
01.01	Par value	593,209	587,226	575,305
01.99	Total balance, start of year	603,488	591,184	575,305
	Receipts:			
02.01	Motorboat fuels tax	192,888	207,000	214,000
02.02	Excise taxes on sport fishing equipment	78,607	78,300	80,400
02.03	Import duties on tackle and yachts	26,930	4,600	22,000
02.04	Boat safety	21,850	22,000	22,000
02.99	Total receipts	320,275	311,900	338,400
04.00	Total: Balances and collections	923,763	903,084	913,705
	Appropriations:			
	U.S. Coast Guard (Department of Transportation):			
05.02	Boat safety (motorboat fuels tax)	-35,000	-37,250	-39,750
05.03	Operating expenses (motorboat fuels tax)	-35,000	-32,250	-32,250
05.04	Sport Fish Restoration	-229,494	-225,106	-215,283
05.05	Appropriation:	-33,085	-33,173	-32,117
05.99	Total, appropriations	-332,579	-327,779	-319,400
	Unappropriated balance, end of year: U.S. Securities:			
07.00	Balance, end of year	3,958		
07.01	Par value	587,226	575,305	594,305
07.99	Total balance, end of year	591,184	575,305	594,305

BS

The Internal Revenue Code of 1954, as amended, and the Federal Boat Safety Act of 1971 (P.L. 92-75), as amended, provide for the transfer of Highway Trust Fund revenue derived from the motor boat fuel tax and certain other taxes to the Aquatic Resources Trust Fund. The Secretary of the Treasury estimates the amounts to be so transferred. In turn, appropriations are authorized from this fund to meet expenditures for recreational boating safety assistance and other programs specified by law.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY
Program and Financing (in thousands of dollars)

Identification code: *69-8149-0-7-403*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Program by activities:			
00.01	State recreational boating safety programs	33,744	36,605	39,124
00.02	Operating expenses: Coast Guard	35,700	32,895	32,876
10.00	Total obligations	69,444	69,500	72,000
	Financing:			
21.40	Unobligated balance available, start of year	−3,582	−4,138	−4,138
24.40	Unobligated balance available, end of year	4,138	4,138	4,138
39.00	Budget authority (gross)	70,000	69,500	72,000
	Budget Authority: (definite)			
40.00	Current Authority: Appropriation	70,000	64,500	64,500
60.00	Permanent Authority: Appropriation	...	5,000	7,500
	Relation of obligations to outlays:			
71.00	Total obligations	69,444	69,500	72,000
72.40	Obligated balance, start of year	26,875	25,206	26,967
74.40	Obligated balance, end of year	−25,206	−26,967	−29,299
90.00	Outlays	71,113	67,739	69,668

COAST GUARD -- Boat Safety Account

PROGRAM AND PERFORMANCE

This account provides financial assistance for the development and implementation of a coordinated national recreational boating safety program. The amount provided as financial assistance to the States and Territories is proposed to be $39,750,000 in 1994, of which $7,500,000 is to be derived under the authority of Title V of the "Oceans Act of 1992" (P.L. 102-587). In addition, $32,250,000 will be expended in 1994 for Operating Expenses.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY
Object Classification (in thousands of dollars)

Identification code: *69-8149-0-7-403*		*1992 actual*	*1993 estimate*	*1994 estimate*
25.2	Other services	35,700	32,895	32,876
41.0	Grants, subsidies, and contributions	33,744	36,605	39,124
99.9	Total obligations	69,444	69,500	72,000

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD SUPPLY FUND

Program and Financing (in thousands of dollars)

Identification code: *69-4535-0-4-403*		*1992* *actual*	*1993* *estimate*	*1994* *estimate*
	Program by activities:			
10.00	Total obligations (object class 26.0)	80,179	82,745	85,393
	Financing:			
21.90	Unobligated balance available, start of year: Fund balance	–394	–351	–306
24.90	Unobligated balance available, end of year: Fund balance	351	306	259
68.00	Budget authority (gross): Spending authority from offsetting collections	80,136	82,700	85,346
	Relation of obligations to outlays:			
71.00	Total obligations	80,179	82,745	85,393
72.90	Obligated balance, start of year: Fund balance	11,813	8,769	8,414
74.90	Obligated balance, end of year: Fund balance	–8,769	–8,414	–8,061
87.00	Outlays (gross)	83,223	83,100	85,746
	Adjustments to budget authority and outlays:			
	Deductions for offsetting collections:			
88.00	Federal funds	–76,708	–79,163	–81,696
88.40	Non–Federal sources	–3,428	–3,537	–3,650
88.90	Total, offsetting collections	–80,136	–82,700	–85,346
89.00	Budget authority (net)	....	....	....
90.00	Outlays (net)	3,087	400	400

PROGRAM AND PERFORMANCE

The Coast Guard supply fund, in accordance with 14 U.S.C. 650, finances the procurement of uniform clothing, commissary provisions, general stores, technical material, and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from sale of goods.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND

Program and Financing (in thousands of dollars)

Identification code: *69-4743-0-4-403*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Program by activities:			
	Operating expenses:			
00.01	Cost of goods sold	20,543	16,442	23,825
00.02	Other	36,956	37,033	35,460
00.91	Total operating expenses	57,499	53,475	59,285
01.01	Capital investment: Purchase of equipment	1,091	-9,479	-14,845
10.00	Total obligations	58,590	43,996	44,440
	Financing:			
21.90	Unobligated balance available, start of year: Fund balance	-27,115	-16,285	-15,948
24.90	Unobligated balance available, end of year: Fund balance	16,285	15,948	15,050
68.00	Budget authority (gross): Spending authority from offsetting collections	47,760	43,659	43,542
	Relation of obligations to outlays:			
71.00	Total obligations	58,590	43,996	44,440
72.90	Obligated balance, start of year: Fund balance	8,657	7,089	1,376
74.90	Obligated balance, end of year: Fund balance	-7,089	-1,376	-5,015
87.00	Outlays (gross)	60,158	49,709	40,801
	Adjustments to budget authority and outlays:			
	Deductions for offsetting collections:			
88.00	Federal funds	-47,641	-43,583	-43,492
88.40	Non-Federal sources	-119	-76	-50
88.90	Total, offsetting collections	-47,760	-43,659	-43,542
89.00	Budget authority (net)	...	...	...
90.00	Outlays (net)	12,398	6,050	-2,741

PROGRAM AND PERFORMANCE

This fund finances the industrial operation of the Coast Guard Yard, Curtis Bay, MD (14 U.S.C.). The Yard finances its operations out of advances received from Coast Guard appropriations and other agencies for all direct and indirect costs.

ANALYSIS BY TYPE OF WORK

(Percent)

	1992 actual	1993 estimate	1994 estimate
Vessel repairs and alterations........................	80	78	77
Vessel construction..................	8	0	0
Boat repairs and construction.........	0	2	1
Fabrication of special and miscellaneous items................	12	20	22
Total.........................	100	100	100

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND

Object Classification (in thousands of dollars)

Identification code: *69-4743-0-4-403*		*1992 actual*	*1993 estimate*	*1994 estimate*
	Personnel compensation:			
11.1	Full-time permanent	20,552	19,675	20,285
11.3	Other than full-time permanent	1,586	1,639	1,560
11.5	Other personnel compensation	4,470	4,169	4,178
11.7	Military personnel	682	844	844
11.9	Total personnel compensation	27,290	26,327	26,867
12.1	Civilian personnel benefits	4,900	5,741	5,880
12.2	Military personnel benefits	40	65	65
21.0	Travel and transportation of persons	103	131	131
22.0	Transportation of things	67	60	60
23.3	Communications, utilities, and miscellaneous charges	1,641	1,545	1,545
24.0	Printing and reproduction	6	19	19
25.2	Other services	3,242	2,906	2,906
26.0	Supplies and materials	20,242	5,378	5,064
31.0	Equipment	1,056	1,821	1,900
43.0	Interest and dividends	3	3	3
99.9	Total obligations	58,590	43,996	44,440

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND
Personnel Summary

Identification code: *69-4743-0-4-403*	*1992 actual*	*1993 estimate*	*1994 estimate*
Military: Total compensable workyears:			
Full-time equivalent employment	24	24	24
Civilian: Total compensable workyears:			
Full-time equivalent employment	734	632	632
Full-time equivalent of overtime and holiday hours	98	65	60

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND
Program and Financing (in thousands of dollars)

Identification code: *69-8533-0-7-403*	*1992 actual*	*1993 estimate*	*1994 estimate*
Program by activities:			
10.00 Total obligations	−39	80	80
Financing:			
Unobligated balance available, start of year:			
21.40 Treasury balance	−37	−115	−115
21.41 U.S. Securities: Par value	−1,420	−1,440	−1,440
21.42 Unrealized discounts	−31	...	...
Unobligated balance available, end of year:			
24.40 Treasury balance	115	115	115
24.41 U.S. Securities: Par value	1,440	1,440	1,440
60.05 Budget authority (appropriation) (indefinite)	28	80	80
Relation of obligations to outlays:			
71.00 Total obligations	−39	80	80
72.40 Obligated balance, start of year	19	1	1
74.40 Obligated balance, end of year	−1	−1	−1
90.00 Outlays	−21	80	80

COAST GUARD--Coast Guard General Gift Fund

PROGRAM AND PERFORMANCE

This trust fund, maintained from gifts and bequests, is used for purposes as specified by the donor in connection with the Coast Guard training program (10 U.S.C. 2601).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND
Object Classification (in thousands of dollars)

Identification code: *69–8533–0–7–403*		*1992 actual*	*1993 estimate*	*1994 estimate*
25.2	Other services	1	62	62
26.0	Supplies and materials	3	10	10
31.0	Equipment	–43	8	8
99.9	Total obligations	–39	80	80

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Program and Financing (in thousands of dollars)

Identification code: 69-9981-0-8-403	*1992 actual*	*1993 estimate*	*1994 estimate*
Program by activities:			
00.01 Cadet activities	5,679	5,861	6,048
00.02 Surcharge collections, sales of commissary stores	274	283	292
10.00 Total obligations	5,953	6,144	6,340
Financing:			
21.90 Unobligated balance available, start of year: Fund balance	–507	–393	–275
24.90 Unobligated balance available, end of year: Fund balance	393	275	154
68.00 Budget authority (gross): Spending authority from offsetting collections	5,839	6,026	6,219
Relation of obligations to outlays:			
71.00 Total obligations	5,953	6,144	6,340
72.90 Obligated balance available, start of year: Fund balance	175	603	1,045
74.90 Obligated balance available, end of year: Fund balance	–603	–1,045	–1,501
87.00 Outlays (gross)	5,525	5,702	5,884

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Program and Financing (in thousands of dollars), p.2

Identification code: *69-9981-0-8-403*	*1992* *actual*	*1993* *estimate*	*1994* *estimate*
Adjustments ot budget authority and outlays:			
Deductions for offsetting collections:			
88.00 Federal funds	−5,679	−5,861	−6,048
88.40 Non−Federal sources	−160	−165	−171
88.90 Total, offsetting collections	−5,839	−6,026	−6,219
89.00 Budget authority (net)	...	...	...
90.00 Outlays (net)	−314	−324	−335
Distribution of outlays by account:			
Cadet activities	−205	...	...
Surcharge collections, sales of commissary stores	−109	−324	−335

PROGRAM AND PERFORMANCE

The Coast Guard cadet fund is used by the Superintendent of the Coast Guard Academy to receive, plan, control, and expend funds for personal expenses and obligations of Coast Guard cadets.

The Coast Guard surcharge collections, sales of commissary stores fund is used to finance expenses incurred in connection with the operation of the Coast Guard commissary store in Kodiak, Alaska. Revenue is derived from a surcharge placed on sales (14 U.S.C. 487).

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Object Classification (in thousands of dollars)

Identification code: 69-9981-0-8-403		*1992 actual*	*1993 estimate*	*1994 estimate*
23.3	Communications, utilities, and miscellaneous charges	...	22	23
25.2	Other services	5,704	5,836	6,022
26.0	Supplies and materials	249	257	265
31.0	Equipment	...	29	30
99.9	Total obligations	5,953	6,144	6,340

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PROGRAM AND PERFORMANCE

1. **Search and rescue** - The Coast Guard maintains a nationwide system of boats, aircraft, cutters, and rescue coordination centers on 24-hour alert which are capable of responding to reports of distress incidents.

WORKLOAD DATA

	1992 actual*	1993 estimate	1994 estimate
Responses to search and rescue cases....	69,150	69,500	70,900
Sorties..............	87,430	87,600	88,600
Time on sorties (hrs)	281,990	297,000	304,500
Lives saved..........	5,450	5,400	5,700
Persons otherwise assisted...........	122,750	115,200	113,600
Property loss prevented ($000)	706,590	706,200	709,600
Value of property assisted ($000).....	2,618,760	2,386,500	2,410,900

* FY 1992 figures are projected based on actual data which is only 96% complete as of 14 Jan 93. FY 1993 and FY 1994 estimates are based on analysis of FY 1989 through FY 1992 data.

2. Aids to navigation - The Coast Guard maintains a network of floating and fixed aids to navigation along our coasts and on inland waterways to insure mariners' safe passage. Loran-C stations provide electronic coastal marine navigation, as well as enroute and non-precision approach aviation navigation capabilities throughout the United States. Domestic Loran-C serves the needs of both civilian and military users throughout the continental U.S. and Alaska and is the federally provided radionavigation system for the U.S. Coastal Confluence Zone. Eight OMEGA stations, six of which are operated and funded to various levels by the six host partner nations, provide navigation coverage to military and civilian ships and aircraft nearly worldwide. Radiobeacons operated in the United States provide mariners with an all-weather, low user cost navigation system, used primarily for homing, along our coasts and in the Great Lakes. The Coast Guard operates Vessel Traffic Services in eight U.S. ports and plans to expand service to more ports over the next few years. Administrative control is also exercised over the construction, maintenance, and operation of bridges across navigable waters of the United States.

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Federal floating aids	14,893	15,265	15,646
Federal fixed aids...	25,859	25,885	25,911
Priv. aids authorized	47,127	47,598	48,074
Total vessel traffic. service transits....	820,240	967,883	1,142,102
Bridge permits and regulations issued..	426	500	510
Truman-Hobbs BA Projects	3	4	6

Note: Federal Fixed Aids for FY92, FY93, FY94 include 2,627 aids maintained for the Coast Guard by other Federal Agencies; e.g., the National Park Service and the Corps of Engineers, not counted in previous years.

3. **Marine safety** - The Coast Guard's marine safety program consists of two major activities:

a. **Marine inspection and marine licensing programs** - The Coast Guard reviews plans and specifications for the construction or alteration of merchant vessels; conducts periodic inspections; investigates casualties; and sets standards, procedures, and practices under which merchant marine personnel are licensed and regulated.

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Marine inspection:			
Inspections (total)	32,657	33,162	33,666
U.S. vessels (total).........	29,929	30,397	30,865
Inspections, Foreign vessels (total).........	2,728	2,765	2,801
Marine/Casualty investigations...	9,664	9,600	10,000
Marine licensing:			
Licensing transactions.....	26,540	23,750	23,750
Seamen's document transactions.....	19,650	18,875	18,875

b. **Recreational boating safety** - The Coast Guard operates a boat safety standards program and provides safe boating information and support through the Coast Guard Auxiliary as well as the individual State boating safety programs.

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Factory visits/ inspections.........	1,500	2,000	2,300
Defect campaigns.....	128	150	150
Persons enrolled in Auxiliary boating education courses...	347,504	350,000	375,000
Courtesy marine examinations (Auxiliary).........	282,867	300,000	325,000

4. Marine environmental protection - The Coast Guard's marine environmental protection program consists of two major activities:

a. Marine environmental response - Under various laws, international agreements and conventions, the Coast Guard is responsible for responding to pollution incidents involving oil and hazardous chemicals. The Coast Guard receives reports, evaluates, responds to, and mitigates potential and actual pollution discharges on waters and land areas defined as the "Coastal Zone", in the National Contingency Plan.

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Reports of pollution received by the Coast Guard:	10,747	11,930	13,760
Oil............(est)	8,795	11,200	12,900
Chemical...........	950	730	860
Investigations:	11,165	12,910	14,938
Oil................	9,686	11,139	12,810
Chemical...........	519	571	628
Other..............	960	1,200	1,500
Federally funded cleanups supervised by the Coast Guard:	555	880	1,080
Oil................	513	800	1,000
Chemical...........	42	80	80

b. Port safety - Under various laws, conventions, international agreements, and memoranda of understanding with other federal agencies, the Coast Guard is charged with promoting safety in ports, on waterways, and on the high seas. The Coast Guard is expected to provide rapid and effective response to port emergencies such as fires, explosions, and collisions. The Coast Guard Captain of the Port (COTP) has extensive law enforcement authority over waterfront facilities, vessels and the navigable waters of the United States, and has a broad role as the coordinator and overseer of port safety activities of all parties involved in the port complex.

4. Marine environmental protection (Cont)

WORKOAD DATA

	1992 actual	1993 estimate	1994 estimate
Port safety:			
Transfer operations monitored........	5,896	4,500	4,500
Waterfront facilities inspected..........	3,148	3,200	3,200
Harbor patrols.....	16,350	20,000	20,000
Safety zone patrols	872	850	850
MARPOL facilities inspected.........	1,011	2,425	2,425
Contingency drills............	388	200	200

5. Enforcement of laws and treaties - The Coast Guard enforces all applicable federal laws and regulations over, on, and under the high seas and waters subject to the jurisdiction of the United States. Additionally, the Coast Guard law enforcement authority is provided in 14 USC 89. The Coast Guard maintains an operating force of maritime patrol cutters, aircraft and boats to prevent and detect crime, and to apprehend criminals. Drug enforcement includes drug smuggling by air and maritime routes, fisheries enforcement involves protection of living marine resources, especially fisheries and marine mammals, while and theft of vessels, and other unlawful activities.

5. Enforcement of laws and treaties (Cont)

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Cutter operating hours:			
Drug enforcement....	81,468	94,000	106,000
Fisheries enforcement........	86,011	90,000	96,000
General law enforcement........	37,128	34,000	16,000
Total...............	204,607	218,000	218,000

	1992 actual	1993 estimate	1994 estimate
Aircraft flight hours:			
Drug enforcement....	15,302	19,100	19,100
Fisheries enforcement........	12,877	12,800	13,000
General law enforcement........	6,767	4,700	4,700
Total...............	34,946	36,600	36,800

	1992 actual	1993 estimate	1994 estimate
Fisheries enforcement boardings	8,579	9,000	9,000
Drug-related seisures:			
Seizure Cases......	67	55	50
Tons of marijuana..	25	20	20
Pounds of cocaine..	16,634	30,000	30,000

6. Ice operations - Polar ice operations are performed in the Arctic and Antarctic by icebreakers in support of programs of the Coast Guard and other agencies. Domestic ice operations are performed on the navigable waters of the United States. Coast Guard polar icebreakers provide the nation with capable platforms to carry out important scientific and environmental missions, and to protect economic and security interests in the polar regions. Coast Guard icebreakers also provide support to other programs such as Seach and Rescue, Aids to Navigation, and Enforcement of Laws and Treaties.

WORKLOAD DATA

	1992 actual	1993 estimate	1994 estimate
Polar ice operations:			
Deployment days....	403	360	425
Domestic ice operations:			
Cutter operating hours..............	3,748	3,666	3,666
Aircraft reconnaissance operating hours...	154	154	154
Vessels assisted...	209	248	248
International Ice Patrol Aircraft hours.............	576	500	500

7. Defense Readiness/Port Security - Readiness and Port Security are the two missions of the Defense Readiness Program.

Defense readiness - The Coast Guard operates as a service in the Navy upon declaration of war or during times of national emergency at the direction of the President. The Coast Guard also provides individual units and/or personnel to support the Department of Defense upon request as it responds to peacetime contingencies at the discretion of the Secretary of Transportation. An effective state of military preparedness is maintained during peacetime to meet these commitments through individual and unit training, joint naval training exercises, and single and multiship operations.

Port security - The Coast Guard is responsible for planning and providing response to contingencies which threaten the security of the ports and waterways of the United States. The Coast Guard Captain of the Port (COTP) has a broad role as the Coordinator and overseer of port security activities of all parties involved in the port complex.

CG participation
in armed conflicts:

	Desert Shield/Desert Storm
CG Personnel 1/	2000
Deployment:	
Vessels	18 - 22ft raider boats operated by 3 Port Security Units
Aircraft 2/	4

CG participation
in peacetime contingency operations:

	U.N. Yugoslavia Sanctions
CG Personnel	19

1/ Includes deployed active duty personnel and all reserve personnel called up for Desert Shield/Desert Storm support, primarily during 1991 and 1992, and Coast Guard involvement in Red Sea/Persian Gulf Multi-National Maritime Interception Operations (MMIO) which is still ongoing.

2/ 2 HU-25's with air detachment and 2 C-130 logistics flights.

7. Defense Readiness/Port Security (Cont)

	1992 actual	1993 estimate	1994 estimate
Port Security:			
Readiness/counter-terrorism mobilization exercises.........	101	100	100
Special interest vessel boardings	114	50	50
Security zone patrols........	112	100	100

8. **Headquarters administration** - This activity provides funding for administrative services at Coast Guard headquarters, including: executive direction, budget, planning and policy, command, control, communication, operations, financial management, legal, engineering, civil rights, and personnel and health services for the Coast Guard.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
MILITARY FULL-TIME EQUIVALENT ESTIMATES

Pay Grade	1992 actual	1993 estimate	1994 estimate
O-10	1	1	1
O-09	4	4	4
O-08	14	13	13
O-07	13	13	13
O-06	365	386	386
O-05	701	720	722
O-04	1,044	1,091	1,089
O-03	1,762	1,764	1,755
O-02	1,149	1,290	1,291
O-01	653	605	604
TEMAC	52	49	49
SUBTOTAL	5,758	5,936	5,927
W-4	401	400	404
W-3	330	358	358
W-2	772	786	778
TEMAC	7	7	7
SUBTOTAL	1,510	1,551	1,547
E-10	1	1	1
E-09	298	298	298
E-08	578	581	589
E-07	2,805	2,826	2,872
E-06	5,817	5,742	5,818
E-05	6,015	6,104	6,502
E-04	7,393	7,522	6,916
E-03	3,914	4,157	4,923
E-02	3,492	2,849	1,754
E-01	575	404	581
TEMAC	101	94	94
SUBTOTAL	30,989	30,578	30,348
PHS	161	163	153
CADETS	853	865	855
OCS		66	13
SUBTOTAL	1,014	1,094	1,021
TOTAL	39,271	39,159	38,843

Prior to FY93 OCS was included in Enlisted Numbers

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RECRUIT PERSONNEL

FISCAL YEAR	REGULAR RECRUITS	RESERVE RECRUITS	TOTAL RECRUITS
1985	4,716	1,245	5,961
1986	4,114	1,611	5,725
1987	5,900	1,964	7,864
1988	4,505	1,309	5,814
1989	3,564	1,007	4,571
1990	3,487	992	4,479
1991	5,399	772	6,171
1992	4,441	713	5,154
1993 EST	3,100	100	3,200
1994 EST	3,100	0	3,100

ENLISTED LOSS RATES

FISCAL YEAR	ENLISTED LOSSES	ENLISTED STRENGTH END OF - YEAR	LOSS RATE PERCENTAGE
1983	4,171	32,323	12.9
1984	5,202	31,172	16.7
1985	4,595	31,143	14.8
1986	5,061	30,163	16.8
1987	4,316	31,235	13.8
1988	4,438	30,306	14.6
1989	3,830	29,972	12.8
1990	4,113	29,136	14.1
1991	4,250	30,285	14.0
1992	3,764	30,962	12.2
1993 EST	3,696	30,295	12.2
1994 EST	3,660	29,700	12.2

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
PUBLIC QUARTERS

NUMBER OF QUARTERS END OF:

	1992 actual	1993 estimate	1994 estimate
OWNED.............	4,846 note 1	5,040 note 2	5,070 note 2
LEASED............	5,750	6,900	7,150

NUMBER OF COAST GUARD PERSONNEL IN LEASED HOUSING END OF:

	1992 actual	1993 estimate	1994 estimate
FAMILIES..........	4,535	5,600	5,650
UNACCOMPANIED......	2,430	2,600	3,000
TOTAL.............	6,965	8,200	8,650

NOTES: (1) Owned housing family quarters inventory includes 208 DoD permitted units we occupy and maintain.

(2) Includes units pending completion of construction.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

MILITARY PERSONNEL RELOCATION DATA

FISCAL YEAR	AMOUNT ($M)	NUMBER OF TRAVEL ORDERS	AVERAGE COST PER TRAVEL ORDER
1982	30.6	11,100	2,758
1983	34.5	10,002	3,448
1984	36.3	11,433	3,173
1985	33.8	10,946	3,084
1986	42.5	12,957	3,282
1987	51.2	17,333	2,956
1988	52.3	20,562	2,543
1989	51.6	18,695	2,752
1990	57.5	19,234	2,989
1991	60.6	20,461	2,962
1992	60.1	16,549	3,619
1993 EST	63.0	16,600	3,795

NOTE: TRAVEL ORDER DATA INCLUDES EVENTS THAT ARE NOT PERMANENT CHANGE OF STATION REASSIGNMENTS, SUCH AS ACCESSIONS, SEPARATIONS, STUDENT DEPENDENT TRAVEL, RETURN OF REMAINS, ETC. APPROXIMATELY 2/3 OF TRAVEL ORDERS ARE ACTUAL REASSIGNMENTS.

COAST GUARD SELECTED RESERVE RECRUITING

FISCAL YEAR	NON-PRIOR SERVICE	PRIOR SERVICE	TOTAL RECRUITS
1989	650	357	1,007
1990	585	341	926
1991	542	205	747
1992	360	276	636
1993 EST	50	50	100
1994 EST	0	0	0

Note: "Non-prior Service" recruiting also includes direct appointment petty officer accessions (ages 26-35).

COAST GUARD SELECTED RESERVE REENLISTMENT RATES*

CATEGORY	FY 92	FY 93(EST)	FY 94(EST)
Non-prior Svc	25%	30%	35%
Prior Service	91%	85%	80%
Overall Force	79%	75%	70%

Notes: * = "Reenlistment Rate" is the percentage of enlisted personnel ending their enlistment who actually reenlist.

FUNCTIONAL DISTRIBUTION OF RESERVE DRILL TRAINING

OPERATING FUNCTION	FY 92	FY 93(EST)	FY 94(EST)
Boat Ops. Augmentation........	11.6%	12.0%	13.0%
Port Safety Augmentation........	16.5%	18.0%	20.0%
Readiness Exercise Augmentation........	1.4%	2.0%	2.0%
Other Augmentation Training............	20.4%	20.0%	20.0%
Reserve Unit Structured Training.	22.7%	22.0%	20.0%
Reserve Unit/ Augmentation Admin Staff Support.......	27.4%	26.0%	25.0%
TOTAL	100.0%	100.0%	100.0%

RESERVE AUGMENTATION MANHOURS

FISCAL YEAR	MANHOURS
1990	1,976,468
1991	1,826,560
1992	1,768,890
1993 (EST)	1,932,000
1994 (EST)	1,656,000

COAST GUARD RESERVE YEAR-END STRENGTH SUMMARY

SELECTED RESERVE	TOTAL STRENGTH	OFFICERS	ENLISTED
SEPTEMBER 30, 1985	12,590	1,557	11,033
SEPTEMBER 30, 1986	12,988	1,602	11,386
SEPTEMBER 30, 1987	13,287	1,640	11,647
SEPTEMBER 30, 1988	12,084	1,533	10,551
SEPTEMBER 30, 1989	12,042	1,598	10,444
SEPTEMBER 30, 1990	12,123	1,674	10,449
SEPTEMBER 30, 1991	11,857	1,623	10,234
SEPTEMBER 30, 1992	11,232	1,536	9,696
SEPTEMBER 30, 1993 (EST)	10,500	1,421	9,079
SEPTEMBER 30, 1994 (EST)	8,000	1,083	6,917
READY RESERVE			
SEPTEMBER 30, 1985	17,878	2,246	15,632
SEPTEMBER 30, 1986	17,696	2,345	15,351
SEPTEMBER 30, 1987	18,062	2,368	15,694
SEPTEMBER 30, 1988	17,646	2,144	15,502
SEPTEMBER 30, 1989	17,241	2,300	14,941
SEPTEMBER 30, 1990	17,232	2,236	14,996
SEPTEMBER 30, 1991	18,156	2,101	16,055
SEPTEMBER 30, 1992	18,576	2,000	16,576
SEPTEMBER 30, 1993 (EST)	18,500	2,000	16,500
SEPTEMBER 30, 1994 (EST)	18,500	2,000	16,500

The Selected Reserve is composed of members who perform training duty with pay to prepare them for high-priority mobilization assignments. This group is maintained at a high level of readiness because it will be activated at the earliest stages of a national emergency.

The Ready Reserve is composed of both Selected Reserve and Individual Ready Reserve (IRR) personnel. Members of the IRR are also mobilization resources, but their lower priority assignments do not require participation in a continual program of peacetime training.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

STANDARD STAFFING FOR CUTTERS 1/

TYPE/CLASS	OFF/WO/ENL		TOTAL CREW
WHEC 378 (POST FRAM)	16/04/156		176 4/
WMEC 270	11/03/86		100
WMEC 230	9/01/68		78
WMEC 213 YOCONA	9/01/73		83
WMEC 213 ACHUSHNET	8/01/66		75
WMEC 213 ESCAPE	8/02/67		77
WMEC 210 POST MMA	11/01/63		75 2/
WMEC 210 PRE MMA	11/01/63		75 2/
WMEC 205	8/01/72		81
WMEC 180	7/01/43		51
WAGB 400	11/04/127		142
WAGB 290	7/01/67		75
WPB 110	2/00/14		16
WPB 82	0/00/10	3/	10
WSES 110	1/00/16		17
WTGB 140	2/01/14		17
WYTL 65ABD	0/00/06		6
WYTL 65C	0/00/06		6
WLB 180 5/	5/02/42		49
WLM 157	3/02/28		33
WLM 133	0/01/23		24
WLI 100	0/01/14		15
WLI 65	0/00/09		9
WLIC 100	0/01/14		15
WLIC 75	0/00/13		13
WLIC 160	0/01/13		14
WLR SUMAC	0/00/22		22
WLR 75	0/00/19		19
WLR 65	0/00/13		13

1/ Figures do not include general detail.

2/ Total Crew reflects an average for enlisted billets due to a variance in shore side maintenance support. Actual enlisted crew sizes vary from 60 to 65.

3/ Approximately one half of the 82-foot WPBs have a crew of 1 Officer and 9 enlisted billets, the remaining 82-foot WPBs are crewed with 10 enlisted billets.

4/ Total crew does not reflect pending personnel reduction of 8 billets resulting from removal of Anti-Submarine Warfare equipment.

5/ INCONUS cutters displayed. OUTCONUS cutters have 5/2/49 = 56 assigned.

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS FOR MAJOR OPERATING PLATFORMS

($000)

			FY 1992			FY 1993		
FACILITY	NUMBER	FTP/E*	PERSONNEL FUNDS	OPERATION & MAINTENANCE	TOTAL FUNDS	PERSONNEL FUNDS	OPERATION & MAINTENANCE	TOTAL FUNDS
WAGB	2	164	$5,749	$5,070	$10,819	$5,917	$5,775	$11,692
WHEC 378 (OUTCONUS)	2	202	7,643	1,679	9,322	7,869	1,686	9,555
WHEC 378 (INCONUS)	10	202	7,050	1,679	8,729	7,262	1,686	8,948
WMEC 270	13	115	4,135	1,313	5,448	4,256	1,318	5,574
WAGB (MACKINAW)	1	86	3,084	1,469	4,553	3,174	1,516	4,690
WMEC 213 (YOCONA)	1	95	3,582	676	4,258	3,688	695	4,383
WMEC 230 (STORIS)	1	89	3,367	661	4,028	3,467	680	4,147
WMEC 210	16	86	3,100	767	3,867	3,191	779	3,970
WMEC 205 (TAMAROA)	1	93	3,211	637	3,848	3,305	655	3,960
WMEC 213 (ESCAPE)	1	88	3,110	707	3,817	3,201	727	3,928
WMEC 213 (ACUSHNET)	1	86	3,032	704	3,736	3,121	724	3,845

* Includes 15 percent General Detail billets

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS FOR MAJOR OPERATING PLATFORMS (CONTINUED)

($000)

			FY 1992			FY 1993		
FACILITY	NUMBER	FTP/E*	PERSONNEL FUNDS	OPERATION & MAINTENANCE	TOTAL FUNDS	PERSONNEL FUNDS	OPERATION & MAINTENANCE	TOTAL FUNDS
WLB 180 (OUTCONUS)	9	64	2,456	509	2,965	2,529	534	3,063
WLB 180 (INCONUS)	17	56	2,001	509	2,510	2,060	534	2,594
WMEC 180 (CITRUS)	1	58	2,057	399	2,456	2,117	411	2,528
WTGB 140**	2	31	1,091	410	1,501	1,123	422	1,545
WTGB 140	7	20	729	299	1,028	750	308	1,058
WSES 110	3	19	648	628	1,276	668	647	1,315
WPB 110 (OUTCONUS)	15	18	697	366	1,063	717	377	1,094
WPB 110 (INCONUS)	34	18	608	366	974	663	377	1,040
WPB 82*** (OUTCONUS)	2	11	408	144	552	420	147	567
WPB 82*** (INCONUS)	40	11	376	144	520	387	147	534

* Includes 15 percent General Detail billet.
** WTGB with aids to navigation barge.
*** Represents an all enlisted complement.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

AIRCRAFT EMPLOYMENT HOURS

	1992 actual	1993 estimate	1994 estimate
Marine Inspection....	151	100	100
Boating Safety.......	376	300	300
Search and Rescue....	24,791	24,600	24,800
Domestic Icebreaking	487	500	500
Polar Operations.....	576	500	400
Marine Science Activities..........	638	600	600
Enforcement of Laws and Treaties (ELT):			
Fish............	15,246	15,000	15,200
Drugs.............	17,690	22,200	22,300
Other.............	7,112	4,900	4,900
Total ELT.......	40,048	42,100	42,500
Military Operations..	695	800	800
Operational Training.	56,046	58,600	58,200
Aids to Navigation...	2,528	2,400	2,400
Radionavigation Aids.	1,146	900	800
Port Safety and Security............	1,344	1,500	1,500
Marine Environmental Response............	2,545	3,300	3,300
Test/Ferry...........	4,759	4,800	4,600
Other/Misc...........	7,500	6,700	6,800
Total..........	143,630	147,600	147,300

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD

AIRCRAFT OPERATING COSTS (FY94$)
ACTUAL FY 1992

PE	AVG # OF AIRCRAFT: (OPERATIONAL/ SUPPORT	COSTS (1)	RESOURCE HOURS	COST PER HOUR
-130	25 / 5	$43.613 M	21.7 K	$2.0 K
-130V	1 / 0	$1.161 M	0.5 K	$2.2 K
-3F	25 / 4	$20.740 M	16.5 K	$1.3 K
-60J	13 / 3	$14.211 M	10.7 K	$1.3 K
-65A	80 /16	$63.800 M	49.0 K	$1.3 K
-25A	19 / 5	$26.033 M	14.8 K	$1.8 K
-25B	5 / 2	$6.857 M	3.9 K	$1.8 K
-25C	8 / 1	$10.391 M	4.5 K	$2.3 K
2C	4 / 0	$0.197 M	0.1 K (2)	$1.7 K
-4A	1 / 0	$0.562 M	0.5 K	$1.2 K
-11A	1 / 0	$0.712 M	0.4 K	$1.7 K
-8A	2 / 0	$0.272 M	1.5 K	$0.2 K
TALS	184 /36	$188.549 M	124.1 K	

PROJECTED FY 1993

-130	25 / 5	$43.543 M	21.6 K	$2.1 K
-130V	1 / 0	$1.752 M	0.8 K	$2.2 K
-3F	12 / 4	$13.222 M	11.5 K	$1.2 K
-60J	27 / 4	$24.150 M	16.5 K	$1.5 K
-65A	80 /16	$63.683 M	48.8 K	$1.3 K
-25A	19 / 5	$26.165 M	15.2 K	$1.7 K
-25B	5 / 2	$6.885 M	4.0 K	$1.7 K
-25C	8 / 1	$9.640 M	5.6 K	$1.7 K
-4A	1 / 0	$0.568 M	0.5 K	$1.1 K
-11A	1 / 0	$0.767 M	0.5 K	$1.5 K
-8A	2 / 0	$0.281 M	2.5 K	$0.1 K
TALS	181 /37	$190.655 M	127.5 K	

PROJECTED FY 1994

-130	26 / 5	$43.543 M	21.6 K	$2.1 K
-3F	3 / 0	$2.613 M	2.2 K	$1.2 K
-60J	32 / 0	$37.335 M	25.7 K	$1.5 K
-65A	80 /16	$63.683 M	48.8 K	$1.3 K
-25A	19 / 5	$26.165 M	15.2 K	$1.7 K
-25B	5 / 2	$6.885 M	4.0 K	$1.7 K
-25C	8 / 1	$9.640 M	5.6 K	$1.7 K
-4A	1 / 0	$0.568 M	0.5 K	$1.1 K
-11A	1 / 0	$0.767 M	0.5 K	$1.5 K
-8A	2 / 0	$0.281 M	2.5 K	$0.1 K
TALS	177 /29	$191.479 M	126.7 K	

TES:
(1) MAY BE LESS THAN HOURS TIMES RATE DUE TO VARIABLE COSTS
(2) E-2Cs RETURNED TO DOD ON 24 OCT 91
(3) HH-3F/HH-60J ALLOWANCES BASED ON MONTHS OF OPERATIONS
NUMBER OF AICRAFT IN SERVICE WILL VARY DURING YEAR

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

HH-60J IMPLEMENTATION PLAN [1]

UNIT	DATE		NUMBER
ATC MOBILE (PART 1)	SEP 90		4
ELIZABETH CITY	JUL 91		3
TRAVERSE CITY	NOV 91		3
SAN FRANCISCO	JAN 92		3
CAPE COD	MAY 92		4
SITKA	AUG 92		3
KODIAK	MAR 93		4
CLEARWATER (non-OPBAT)	AUG 93		3
ATC MOBILE (PART 2)	DEC 93		-1
CLEARWATER (OPBAT)	OCT 93		2
	DEC 93		1
	JAN 94		1
	FEB 94		1
	MAR 94		1
	APR 94		1
	MAY 94		1
	JUN 94		1
		TOTAL	35

SUPPORT AIRCRAFT

PLANNED DEPOT MAINTENANCE (PDM)	8
ATTRITION SPARES (also prototyping/training)	0
TOTAL AIRCRAFT	43

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[1] Plan assumes 43 HH-60J aircraft are funded. A total of 40 aircraft have been funded through FY93. Plan assumes the remaining 3 will be funded in FY94.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
BUDGET AUTHORITY/UNOBLIGATED BALANCES
In thousands of dollars)

	NEW BUDGET AUTHORITY	OBLIGATIONS	UNOBLIGATED BALANCE
FY 1982 1/..........	684,000	449,769	317,352
FY 1983	400,000	435,491	290,861
FY 1984 2/..........	669,000	435,625	531,435
FY 1985	374,200	505,122	411,024
FY 1986 3/..........	218,806	359,862	273,206
FY 1987 4/..........	298,000	367,555	203,293
FY 1988	247,000	363,727	80,083
FY 1989 5/..........	435,800	379,587	135,407
FY 1990	444,164	415,953	172,268
FY 1991 6/..........	411,326	388,654	193,801
FY 1992 7/..........	390,000	295,252	296,562
FY 1993 8/..........	340,000	404,360	232,202
FY 1994 9/..........	414,000	420,775	190,427

1/ INCLUDES $300M FROM FY82 DOD APPROPRIATION ACT (P.L. 97-114).

2/ INCLUDES $300M FROM FY84 DOD APPROPRIATION ACT (P.L. 98-212).

3/ INCLUDES $9.3M REDUCTION FOR BALANCED BUDGET AND EMERGENCY DEFICIT CONTROL ACT OF 1985 (P.L. 99-177).

4/ INCLUDES $89M FROM THE OMNIBUS DRUG ACT CAPITAL FUNDING AS APPROPRIATED IN THE FY 1987 CONTINUING RESOLUTION (P.L. 99-591).

5/ INCLUDES $100M FROM THE ANTI-DRUG ABUSE ACT OF 1988 AND $50.3M FROM DOD MILITARY CONSTRUCTION APPROPRIATION FOR 1989.

6/ INCLUDES $5M FROM FY 1991 DOD APPROPRIATION ACT (P.L. 101-511).

7/ INCLUDES $33.822M DERIVED FROM THE OIL SPILL LIABILITY TRUST FUND.

8/ INCLUDES $35.6M DERIVED FROM THE OIL SPILL LIABILITY TRUST FUND PLUS $11.5M FROM THE HURRICANE ANDREW AND HURRICANE INIKI EMERGENCY SUPPLEMENTAL APPROPRIATION.

9/ INCLUDES $20.0M DERIVED FROM THE OIL SPILL LIABILITY TRUST FUND.

BASE INFORMATION

GENERAL EXPLANATION

The base information figures included in the budget estimates and supplemental data represent the resources the agency had set aside or planned to set aside for operation and maintenance of the facilities and equipment. These amounts are often referred to as programmed amounts. The amounts are primarily based on standard and/or average costs which are documented in official memorandum and financial plans. Amounts actually spent may differ from that which is described as being "in the base."

The personnel base information is calculated by obtaining a personnel allowance list for each operating platform, adding a general detail increment of 15 percent and then multiplying those positions/billets by the recurring standard salary and personnel costs (SPC) for the given fiscal year.

The operations and maintenance base information was obtained from the program manager's and/or annual Operating Stage (OPSTAGE) financial plans.

Base information for major cutters and aircraft is contained in their respective Selected Data Schedules in section II of the Supplemental Budget Data.

While defining the base information on major cutters, aircraft and units is not typically subjective, defining and calculating the base for a particular new initiative in the President's request can be. In those instances, the base information has been footnoted to explain its derivation.

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS BY MAJOR ACCOUNT

($000)

ACCOUNT	FY 1992	FY 1993
MILITARY PAY	$1,141,556	$1,196,337
CIVILIAN PAY	154,367	165,418
TRANSFER OF PERSONNEL	57,634	59,171
AVIATION ENGINEERING	137,860	140,921
ELECTRONICS ENGINEERING	37,149	35,284
CIVIL ENGINEERING	93,401	92,970
LOGISTICS MANAGEMENT	3,151	3,031
NAVAL ENGINEERING	90,786	94,707
ORDNANCE	7,369	8,306
TRAINING	25,929	28,198
MEDICAL CARE	98,836	109,350
HEADQUARTERS & FIELD OPERATION, MAINTENANCE & ADMINISTRATION *	607,334	634,618
SUBTOTAL	2,455,372	2,568,311
LESS ONE TIME CARRYOVER FROM PRIOR FY	- 0 -	(10,311)
FY ENACTED TOTAL **	2,455,372	2,558,000

NOTES:

* A breakdown by location is displayed in the next three pages.

** Totals reflect amounts enacted by Department of Transportation Appropriations Acts (P.L. 102-143 for FY92, and P.L. 102-388 for FY93), and include $135.1 million and $253.0 million scored against Function 050 (DOD) in FY92 and FY93 respectively.

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS FOR MAJOR UNITS
OPERATION, MAINTENANCE & ADMINISTRATION

($000)

LOCATION	FY 1992	FY 1993
FIRST COAST GUARD DISTRICT* BOSTON, MA	$29,600	$31,139
SECOND COAST GUARD DISTRICT* ST. LOUIS, MO	8,319	9,629
FIFTH COAST GUARD DISTRICT* PORTSMOUTH, VA	21,178	21,071
SEVENTH COAST GUARD DISTRICT* MIAMI, FL	46,387	45,905
EIGHTH COAST GUARD DISTRICT* NEW ORLEANS, LA	24,316	24,884
NINTH COAST GUARD DISTRICT* CLEVELAND, OH	15,915	17,017
ELEVENTH COAST GUARD DISTRICT* LONG BEACH, CA	16,724	16,437
THIRTEENTH COAST GUARD DISTRICT* SEATTLE, WA	13,303	13,193
FOURTEENTH COAST GUARD DISTRICT* HONOLULU, HI	15,663	16,287
SEVENTEENTH COAST GUARD DISTRICT* JUNEAU, AK	22,142	21,633
COMDAC SUPPORT FACILITY PORTSMOUTH, VA	2,000	2,068
MAINTENANCE & LOGISTICS COMMAND ATLANTIC NEW YORK, NY	82,752	88,406
MAINTENANCE & LOGISTICS COMMAND PACIFIC ALAMEDA, CA	64,891	71,147

* District funds include all operation, maintenance, and administration funds for subordinate units.

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS FOR MAJOR UNITS (CONTINUED)
OPERATION, MAINTENANCE & ADMINISTRATION

($000)

LOCATION	FY 1992	FY 1993
SUPPLY CENTER BROOKLYN NEW YORK, NY	4,090	5,686
FINANCE CENTER CHESAPEAKE, VA	5,523	5,222
SUPPLY CENTER CURTIS BAY CURTIS BAY, MD	3,364	3,646
AIR STATION WASHINGTON WASHINGTON, DC	727	698
OPERATIONS SYSTEM CENTER MARTINSBURG, WV	4,791	5,395
INFORMATION SYSTEM CENTER ALEXANDRIA, VA	1,234	3,064
OMEGA NAVIGATION SYSTEM CENTER ALEXANDRIA, VA	4,353	3,942
MILITARY PAY AND PERSONNEL CENTER TOPEKA, KS	1,166	1,223
INTELLIGENCE COORDINATION CENTER WASHINGTON, DC	269	279
ELECTRONICS ENGINEERING CENTER WILDWOOD, NJ	845	2,156
COAST GUARD ACADEMY NEW LONDON, CT	12,482	12,891
COAST GUARD INSTITUTE OKLAHOMA CITY, OK	923	895
NATIONAL POLLUTION FUNDS CENTER ARLINGTON, VA	2,071	2,002

OPERATING EXPENSES
BASE INFORMATION
PROGRAMMED COSTS FOR MAJOR UNITS (CONTINUED)
OPERATION, MAINTENANCE & ADMINISTRATION

($000)

LOCATION	FY 1992	FY 1993
TRAINING CENTER PETALUMA, CA	7,061	7,680
RESERVE TRAINING CENTER YORKTOWN, VA	8,373	8,570
AVIATION TRAINING CENTER MOBILE, AL	7,628	7,665
TRAINING CENTER CAPE MAY, NJ	6,969	7,281
AVIATION TECHNICAL TRAINING CENTER ELIZABETH, CITY, NC	294	295
COAST GUARD YARD CURTIS BAY, MD	2,346	1,777
RESEARCH AND DEVELOPMENT CENTER GROTON, CT	446	468
ACTIVITIES EUROPE* LONDON, ENGLAND (UK)	12,137	12,510
HEADQUARTERS** WASHINGTON, DC	157,052	162,457
TOTAL	607,334	634,618

* Activities Europe funds include all operation, maintenance, and administration funds for subordinate units.

** Includes funds for all Headquarters Offices and Staffs. Includes central bill paying.

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1993 PROJECT MILESTONES

	DESIGN STATUS % COMPLETE	DESIGN STATUS COMPLETION DATE	IFB/RFP ISSUED	CONSTRUCTION/PROCUREMENT START/AWARD DATE	CONSTRUCTION/PROCUREMENT COMPLETION DATE
VESSELS:					
A. ACQUIRE VESSELS AND EQUIPMENT:					
1. RE-ENGINE CGC YOCONA	60%	04/95	06/93	10/93	04/95
2. CUTTER BOAT REPLACEMENT	90%	05/93	06/93	09/93	09/96
3. SPECTRO EMITTER ID SYSTEM	0	TBD	TBD	TBD	TBD
4. MANUAL REVERSE OSMOSIS DESALINATORS	100%	03/93	09/93	12/93	09/94
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:					
1. POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT (RIP)	10%	01/96	Various	Various	09/99
AIRCRAFT:					
1. HU-25B AIREYE SYSTEM FOLLOW ON	5%	09/93	N/A	09/93	05/95
2. NIGHT VISION GOGGLES	30%	10/94	N/A	12/93	09/95
3. RG-8 UPGRADES	75%	05/93	N/A	04/93	12/94
OTHER EQUIPMENT:					
1. D17 VHF-FM HIGH SITE UPGRADE PH II	80%	06/93	N/A	09/93	09/94
2. GLOBAL MARITIME DISTRESS SYSTEM	10%	03/93	N/A	04/93	02/99
3. COMMERCIAL SATELLITE COMMS PH II	63%	11/93	N/A	07/93	09/95
4. POLLUTION RESPONSE EQUIPMENT	50%	09/93	Various	10/93	09/94

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1993 PROJECT MILESTONES

		DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
		% COMPLETE	COMPLETION DATE	IFB/RFP ISSUED	START/AWARD DATE	COMPLETION DATE
SHORE FACILITIES AND AIDS TO NAVIGATION:						
A.	**SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:**					
1.	SUPPORT CENTER KODIAK, AK - RECREATIONAL CENTER/GYM	30%	06/93	07/93	09/93	09/94
2.	SUPPORT CENTER KODIAK, AK - CUTTER STORAGE BUILDING	100%	09/92	03/93	04/93	01/94
3.	COAST GUARD YARD CURTIS BAY, MD - FLAMMABLE STORAGE FACILITY	100%	05/91	12/92	04/93	09/95
4.	SUPPORT CENTER NEW YORK, NY - ELECTRICAL UPGRADE PHASE IV	90%	04/93	05/93	07/93	01/95
5.	SUPPORT CENTER PORTSMOUTH, VA - UPH EXPANSION	5%	12/93	02/94	04/94	09/95
6.	SUPPORT CENTER ALAMEDA, CA - CHILD DEVELOPMENT CENTER	50%	05/93	07/93	09/93	08/94
B.	**SHORE - GROUPS/BASES/STATIONS/MSOS:**					
1.	STATION COOS BAY, OR - EXPANSION	35%	06/93	07/93	09/93	09/94
2.	STATION SCITUATE, MA - MOORINGS	100%	08/92	12/92	02/93	10/93
3.	BASE HONOLULU, HI - CONSOLIDATE SUPPLY FACILITY	35%	06/93	08/93	09/93	09/94
4.	GROUP NORTH BEND, OR - FACILITY IMPROVEMENTS	35%	06/93	08/93	09/93	09/94
5.	GROUP HONOLULU, HI - OPS/COMMS/ADMIN FACILITY	35%	06/93	08/93	09/93	09/94
6.	GROUP FORT MACON, NC - MULTI-PURPOSE BLDG	95%	06/93	07/93	09/93	10/94
7.	COMMSTA NEW ORLEANS, LA - TRANSMITTER BLDG	100%	02/93	03/93	05/93	11/94
8.	STATION LAKE WORTH INLET, FL - FACILITY	100%	07/92	04/93	06/93	09/94
9.	GROUP KEY WEST, FL - VESSEL SUPPORT BLDG	100%	07/92	01/93	03/93	04/94
10.	MSO TAMPA, FL - REPLACEMENT FACILITY	0	11/93	12/93	02/94	03/95

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1994 PROJECT MILESTONES

	DESIGN STATUS % COMPLETE	 COMPLETION DATE	IFB/RFP ISSUED	CONSTRUCTION/PROCUREMENT START/AWARD DATE	 COMPLETION DATE
VESSELS:					
A. ACQUIRE VESSELS AND EQUIPMENT:					
1. SURVEY AND DESIGN - CUTTERS AND BOATS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. SEAGOING BUOY TENDER (WLB)	100	02/92	03/92	01/93	9/99
3. COASTAL BUOY TENDER (WLM)	N/A	N/A	04/92	06/93	9/00
4. 47' MOTOR LIFEBOAT (MLB)	99	12/92	10/87	06/88	09/95
5. BUOY BOAT (BUSL)	100	11/91	03/92	10/92	09/00
6. POLAR ICEBREAKER FOLLOW-ON	N/A	N/A	VARIOUS	VARIOUS	VARIOUS
7. CONFIGURATION MANAGEMENT (CM)	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
8. SHIPBOARD COMMAND AND CONTROL SYSTEM (SCCS)	100	5/91	N/A	VARIOUS	07/96
9. SURFACE SEARCH RADARS	0	TBD	TBD	TBD	TBD
10. FT4A GAS TURBINE LOGISTICS SUPPORT	25	10/94	TBD	TBD	TBD
11. POLAR CLASS REPLACEMENT MAIN PROPULSION MONITORING AND CONTROL SYSTEM (MCAM)	100	06/92	06/87	09/87	03/95
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:					
1. 210' WMEC MAJOR MAINTENANCE AVAILABILITY (MMA)	95	06/92	12/85	10/84	01/97
3. POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT (RIP)	5	01/96	04/92	02/94	09/99
AIRCRAFT:					
1. OPERATION BAHAMAS TURKS AND CAICOS (OPBAT) - HELICOPTER - PHASE IV	N/A	N/A	11/90	06/91	12/96
2. TRAFFIC ALERT & COLLISION AVOIDANCE SYSTEM (TCAS)	N/A	N/A	01/93	04/93	9/97
3. GLOBAL POSITIONING SYSTEM INSTALLATION - PHASE IV	90	12/93	N/A	09/90	12/97
4. COCKPIT VOICE/FLIGHT DATA RECORDERS - PHASE IV	20	06/94	03/93	06/94	10/98
5. HU-25B AIRCRAFT - AIREYE SYSTEM - PHASE II	100	12/91	06/93	03/94	06/96
6. HH-65 HELICOPTER/HU-25 FIXED WING-SIMULATOR UPGRADE	100	N/A	N/A	01/94	TBD
7. AUSTERE LOGISTICS AIRCRAFT PURCHASE	N/A	N/A	N/A	10/93	N/A
8. HH-65 HELICOPTER - TRANSMISSION GEARBOX UPGRADE	N/A	N/A	09/92	10/93	10/96

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1994 PROJECT MILESTONES

		DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
		% COMPLETE	COMPLETION DATE	IFB/RFP ISSUED	START/AWARD DATE	COMPLETION DATE
OTHER EQUIPMENT:						
1.	SYSTEMS TO AUTOMATE & INTEGRATE LOGISTICS (SAIL)..	50	09/93	VARIOUS	VARIOUS	VARIOUS
2.	DEFENSE LOGISTIC MODERNIZATION....................	60	10/94	N/A	11/92	VARIOUS
3.	SUPPLY CENTER COMPUTER SYSTEM REPLACEMENT.........	45	05/93	N/A	01/93	11/94
4.	DIFFERENTIAL GLOBAL POSITIONING SYSTEM (DGPS).....	55	07/93	10/93	01/94	01/96
5.	BUOY REPLENISHMENT PROJECT........................	N/A	N/A	VARIOUS	10/91	09/95
6.	COMMUNICATION STATIONS AUTOMATION - PHASE III.....	75	09/93	N/A	11/92	09/94
7.	MARINE INFORMATION FOR SAFETY AND LAW ENFORCEMENT	5	09/97	01/93	11/93	09/97
8.	RESOURCE INFORMATION SYSTEM (RBIS) FOR HEALTH SERVICES PROGRAM................................	5	06/93	N/A	12/92	09/95
9.	PERSONNEL MANAGEMENT INFORMATION SYSTEM/JOINT UNIFORM MILITARY PAY SYSTEM II..................	25	12/93	VARIOUS	06/92	03/95
10.	VESSEL TRAFFIC SERVICES (VTS) 2000................	D	04/95	06/93	09/94	TBD
11.	VESSEL TRAFFIC SERVICES (VTS) UPGRADES............	100	10/92	N/A	01/91	09/93
12.	CONVERSION OF APPLICATIONS SOFTWARE...............	N/A	N/A	10/93	01/94	TBD
13.	VESSEL TRAFFIC SERVICE EQUIPMENT REPLACEMENT PROJECTS..	95	10/93	VARIOUS	VARIOUS	TBD
14.	MINOR AC&I AUTOMATED INFORMATION SYSTEM PROJECTS..	D	VARIOUS	VARIOUS	VARIOUS	VARIOUS

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1994 PROJECT MILESTONES

	DESIGN STATUS % COMPLETE	DESIGN STATUS COMPLETION DATE	IFB/RFP ISSUED	CONSTRUCTION/PROCUREMENT START/AWARD DATE	CONSTRUCTION/PROCUREMENT COMPLETION DATE
SHORE FACILITIES AND AIDS TO NAVIGATION:					
A. **SHORE - GENERAL:**					
1. SURVEY AND DESIGN OF VARIOUS SHORE PROJECTS.......	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. MINOR AC&I SHORE CONSTRUCTION PROJECTS............	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
B. **SHORE - AIR STATIONS:**					
1. AQUADILLA, PR - AIR STATION BORINQUEN DRIVE THROUGH RINSE RACK/FUEL FARM....................	10	12/93	01/94	03/94	09/95
2. AIR STATION MIAMI - UPGRADE PH II................	35	09/93	11/93	01/94	03/96
3. AIR STATION SITKA, AK - AIDS TO NAVIGATION SUPPORT BUILDING................................	30	10/93	12/93	02/94	02/95
C. **SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:**					
1. SUPPORT CENTER SAN PEDRO, CA - MEDICAL/ DENTAL BUILDING..............................	25	01/94	02/94	04/94	04/95
2. SUPPORT CENTER PORTSMOUTH, VA - EXPAND UNACCOMPANIED PERSONNEL HOUSING - PHASE II..	PROJECT CANCELLED				
3. COAST GUARD YARD CURTIS BAY, MD - SHIP HANDLING FACILITY - PHASE I.*..............	0	05/93	12/92	10/93	10/95
4. SUPPORT CENTER KODIAK, AK - COMMUNITY CENTER	95	12/93	02/94	04/94	02/95
5. SUPPORT CENTER KODIAK, AK - COLD STORAGE FACILITY..	10	09/93	11/93	02/94	04/95
6. SUPPORT CENTER SEATTLE, WA - RECONSTRUCT PIER 37..	15	09/93	12/93	02/94	02/95
7. SUPPORT CENTER ELIZABETH CITY, NC - REALIGN PERIMETER ROAD.....................	95	04/93	11/93	01/94	02/95

* Long Lead Time Material/Equipment Only

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1994 PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB/RFP ISSUED	START/AWARD DATE	COMPLETION DATE
SHORE FACILITIES AND AIDS TO NAVIGATION (CONT.):					
D. TRAINING CENTERS:					
1. TRAINING CENTER CAPE MAY, NJ - CHILD DEVELOPMENT CENTER	35	08/93	10/93	12/93	01/95
2. TRAINING CENTER CAPE MAY, NJ - MODIFY BARRACKS	35	06/93	10/93	12/93	12/94
3. TRAINING CENTER CAPE MAY, NJ - RENOVATE ENLISTED UNACCOMPANIED PERSONNEL HOUSING	60	07/93	10/93	12/93	04/95
E. SHORE - PERSONNEL SUPPORT FACILITIES:					
1. Public Family Quarters	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
F. SHORE - GROUPS/BASES/STATIONS/MSOS:					
1. GROUP NORTH BEND, OR - MEDICAL/DENTAL BUILDING	15	08/93	10/93	12/93	11/94
2. COMMUNICATIONS AREA MASTER STATION ATLANTIC - PORTSMOUTH, VA - TRANSMITTER BUILDING	10	10/93	11/93	01/94	02/95
3. GROUP PORT ANGELES, WA - MEDICAL/DENTAL BUILDING	10	08/93	10/93	12/93	11/94
4. STATION PROVINCETOWN, MA - WAVE BARRIER	10	11/93	10/93	04/94	12/94
5. NATCHEZ, MS - REPLACE MOORING FACILITY	10	10/93	01/94	03/94	11/95
G. AIDS TO NAVIGATION FACILITIES:					
1. WATERWAYS SHORT RANGE AIDS PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. CENPAC LORAN CLOSURES	N/A	N/A	N/A	N/A	09/94

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1994

FEDERAL HIGHWAY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FISCAL YEAR 1994 CONGRESSIONAL SUBMISSION

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DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

GENERAL STATEMENT

FY 1994 Budget Overview

The President's budget for FY 1994 not only continues to support effective implementation of the Intermodal Surface Transportation Efficiency Act (ISTEA), but does so at a level commensurate with the obligation levels authorized by the ISTEA. It constitutes a strategic use of resources to promote a safe, effective, and efficient surface transportation system. The amounts contained in our budget request support the Administration's goals of promoting long-term investment in the Nation's infrastructure to strengthen the economy while heeding overall budget constraints. By providing key resources for transportation facilities, research and development, and environmental enhancement, the budget will improve the movement of people and goods and allow us--in partnership with the States and localities--to better meet current and future transportation needs and compete successfully in the global arena.

In keeping with the FY 1993 economic stimulus supplemental appropriations, which will increase the Federal-Aid Highways (FAH) obligation limitation to the ISTEA level for FY 1993, our FY 1994 request for the FAH program also equals the ISTEA level. This investment initiative, which will increase the obligation limitation over the baseline level to the level contained in the ISTEA, will allow us to provide a safe and productive transportation infrastructure and, at the same time, continue the economic stimulus initiatives begun in FY 1993.

The following narrative provides an overview of the FY 1994 budget, including highlights of both personnel resources and proposed funding levels for major appropriation accounts. References to the FY 1993 budget include the estimated effects of the FY 1993 economic stimulus supplemental appropriations. References to FY 1994 amounts include the estimated effects of the Administration's investment initiative to increase the FAH obligation limitation to the level contained in the ISTEA. Also, consistent with the FY 1993 Appropriations Act, this budget includes the Motor Carrier Safety (MCS) program within the Limitation on General Operating expenses (GOE).

Financial Resources

In total, our FY 1994 budget proposes an overall program level (obligations) of $20.911 billion.

The budget authority included in our FY 1994 request totals $21 billion, compared to the FY 1993 and FY 1992 budget authority levels of $21.145 billion and $18.295 billion, respectively.

Outlays for FY 1994 are estimated at $20.205 billion. Estimated outlays for FY 1993 and actual outlays for FY 1992 are $18.025 billion and $15.511 billion, respectively. Most of the increase in outlays results from proposed increases in the FAH obligation limitation to the full ISTEA level.

Personnel Resources

Our FY 1994 budget request reflects implementation of mandated staffing reductions contained in the President's Executive Order 12839, "Reduction of 100,000 Federal Positions."

We are requesting a total of 3,909 FTEs in FY 1994, a decrease of 102 (40 in FY 1993 and 62 in FY 1994) from the amount included in the FY 1993 budget. Of this decrease, 90 FTEs are associated with GOE and the remaining 12 FTEs are associated with the Federal Lands program within Federal-Aid Highways.

Federal-Aid Highways

The Administration's proposal for FAH investment fully funds the obligation limitation for the FY 1994 program at the ISTEA level. Combined with appropriate State and local matching funds and State-only investment, this funding level will: (1) maintain physical conditions on the National Highway System (NHS); (2) replace or rehabilitate structurally deficient bridges; and (3) address more serious performance deficiencies on NHS-eligible highways through new capacity and operational improvements. Also, it will allow additional vital work to be carried out under the Surface Transportation Program and the Congestion Mitigation/Air Quality Improvement Program.

In addition, the proposal increases the Federal Lands program by $36 million over the ISTEA-authorized levels in order to address the backlog in road projects on Federal lands.

In total, we request an obligation limitation of $18.398 billion for FY 1994. This request consists of a baseline level of $15.741 billion plus the Administration's investment initiative of $2.657 billion to allow full funding of the ISTEA obligation limitation. The FY 1994 request represents an increase of $95 million over the $18.303 billion limitation for FY 1993, which includes $15.327 billion enacted in the FY 1993 Appropriations Act plus $2.976 billion contained in the FY 1993 economic stimulus supplemental appropriations.

Including programs exempt from the limitation, we request a total obligation level of $20.515 billion for FY 1994.

The FAH budget authority for FY 1994 totals $20.872 billion, an increase of $202 million over the FY 1993 level of $20.670 billion. This increase includes the proposed $36 million addition to the Federal Lands program.

The FY 1994 outlay estimate of $19.684 billion represents an increase of $2.121 billion over the estimated FY 1993 amount of $17.563 billion. We estimate that $1.895 billion of this increase results from the FY 1993 economic stimulus supplemental appropriations, and $415 million results from the investment initiative to increase the FY 1994 obligation limitation to the ISTEA level plus the additional $36 million for the Federal Lands program.

General Operating Expenses

We request a total of $488.961 million for GOE (including Motor Carrier Safety) in FY 1994. This represents an increase of $90.961 million over the FY 1993 level of $398 million. Major items for which increases are requested include: $9.695 million for mandatory cost increases such as inflation, merit pay/within grades, and annualization costs; $17.524 million for office space rent; 6.784 million for Technology Assessment and Deployment; $3.838 million for Long-Term Pavement Performance; $878 thousand for the National Highway Institute; $1.784 million for Minority Business Enterprises; and $543 thousand for International Transportation. An additional $70 million will be provided for the Intelligent Vehicle/Highway Systems (IVHS) program as part of the Administration's Rebuild America proposal contained in the FY 1994 FAH investment initiative.

This IVHS initiative, also known as "Smart cars/smart highways," will improve traffic control systems, warn drivers of dangerous situations, and make more efficient use of the existing highway infrastructure. It will combine state-of-the-art communications, warning systems, electronic displays, and computer technology. IVHS also has the potential to make innovative highway policy such as "congestion pricing" a reality. The new funding would increase advanced technology development (including artificial intelligence, machine vision, and other defense-related technologies) that will make the highways of the next century both safer and more efficient.

GOE will also be reduced by $4.944 million in salaries and benefits as a result of the FTE staffing reductions mandated by President Clinton in Executive Order 12839. In addition, we will reduce no-year funding associated with Highway Research, Development, and Technology ($6.64 million), Local Rural Technical Assistance ($3.608 million), Multi-Modal Studies ($3.081 million), Highway Investment and User Cost ($770 thousand), and the Fairbank Building Renovation project ($1.042 million) by a total of $15.141 million from the FY 1993 level.

Motor Carrier Safety Grants

We propose an obligation limitation of $65 million for FY 1994, the same amount provided for FY 1993. We estimate a slight increase in outlays--$65.784 million in FY 1994 compared with $65.135 million in FY 1993. The FY 1994 contract authority provided by the ISTEA is $80 million, compared with $76 million for FY 1993.

Highway-Related Safety Grants

We propose an obligation limitation of $10 million for FY 1994, the same amount provided for FY 1993. We estimate outlays of $9.187 million in FY 1994 compared with $7.331 million in FY 1993. The FY 1994 contract authority provided by the ISTEA is $20 million, the same as for FY 1993.

Right-of-Way Revolving Fund

We request a loan limitation of $42.5 million for this highly cost-effective program in FY 1994. This amount equals the FY 1993 limitation.

Other Accounts

No additional funding is requested for other miscellaneous accounts. Some obligations and outlays in fiscal years 1993 and 1994 result from previously appropriated amounts. We understand the Congress may find offsetting savings to preserve these initiatives.

Conclusion

We have proposed a budget that continues to follow the course established by the ISTEA for the Nation's transportation systems. It also responds to the Administration's guidance on budget constraints, priorities, and policy issues such as advancing intermodalism, maximizing transportation resources, and instituting management savings. Increases to fully fund the ISTEA will provide funding for needed long-term investments to enhance national competitiveness and help improve economic performance.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF REQUIREMENTS
(dollars in thousands)

Account	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
FEDERAL-AID HIGHWAYS			
Combined			
Budget Authority (Contract Authority)	17,516,414	20,669,913	20,872,431
Obligations	17,881,218	20,644,675	20,515,009
Obligation Limitation	16,055,364	18,303,000	18,398,000
Limitation on General Operating Expenses (Non-add)	(419,000)	(396,000)	(488,961)
Outlays	15,181,600	17,562,636	19,683,992
Liquidating Cash Appropriation	15,400,000	19,000,000	18,000,000
Positions	245	245	245
Full-time Equivalent Workyears	286	280	276
Regular Schedule			
Budget Authority (Contract Authority)	17,516,414	20,669,913	20,836,431
Obligations	17,661,216	17,668,425	17,857,581
Obligation Limitation	16,055,364	15,326,750	15,740,572
Limitation on General Operating Expenses (Non-add)	(419,000)	(396,000)	(418,961)
Outlays	15,181,600	17,246,196	17,373,065
Liquidating Cash Appropriation	15,400,000	19,000,000	17,500,000
Supplemental Request			
Obligations	...	2,976,250	...
Obligation Limitation	...	2,976,250	...
Outlays	...	316,440	1,865,482
Investment Initiative			
Budget Authority (Contract Authority)	...	...	36,000
Obligations	...	...	2,657,428
Obligation Limitation	...	...	2,657,428
Limitation on General Operating Expenses (Non-add)	...	...	(70,000)
Outlays	...	...	415,445
Liquidating Cash Appropriation	...	...	500,000
LIMITATION ON GENERAL OPERATING EXPENSES			
Limitation	419,000	396,000	488,961
Positions	2,681	2,681	2,681
Full-time Equivalent Workyears	2,757	2,796	2,751

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF REQUIREMENTS
(dollars in thousands)

Account	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
MOTOR CARRIER SAFETY GRANTS			
Budget Authority (Contract Authority)	65,000	76,000	80,000
Obligations	64,962	65,000	65,000
Obligation Limitation	65,000	65,000	65,000
Outlays	63,967	65,135	65,784
Liquidating Cash Appropriation	62,000	65,000	68,000
MOTOR CARRIER SAFETY			
Budget Authority (Appropriation)	47,600	0	0
Obligations	47,543	81	0
Outlays	47,414	7,993	1,409
Positions	671	691	691
Full-time Equivalent Workyears	645	658	648
HIGHWAY-RELATED SAFETY GRANTS			
Budget Authority (Contract Authority)	17,000	20,000	20,000
Obligations	9,337	10,000	10,000
Obligation Limitation	9,337	10,000	10,000
Outlays	9,899	7,331	9,187
Liquidating Cash Appropriation	20,000	10,000	10,000
RIGHT-OF-WAY REVOLVING FUND			
Budget Authority (Contract Authority)	0	0	0
Obligations	9,870	0	0
Loan Limitation	41,688	42,500	42,500
Outlays	19,944	0	0
Liquidating Cash Appropriation	40,000	0	0
MISCELLANEOUS HIGHWAY TRUST FUNDS			
Budget Authority (Appropriation)	69,103	325,015	0
Obligations	88,222	384,196	59,181
Outlays	53,194	133,743	177,457
ORANGE COUNTY TOLL RD. (PROGRAM ACCT.)			
Budget Authority (Appropriation)	0	9,800	0
Obligations	0	9,800	0
Outlays	0	0	0

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF REQUIREMENTS
(dollars in thousands)

Account	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
MISCELLANEOUS APPROPRIATIONS			
Budget Authority (Appropriation)	551,351	16,861	0
Obligations	290,925	251,600	234,738
Outlays	115,004	193,982	235,206
MISCELLANEOUS TRUST FUNDS			
Budget Authority	28,068	27,330	27,330
Obligations	3,709	56,875	27,330
Outlays	20,353	53,972	32,373
Positions	15	15	15
Full-time Equivalent Workyears	0	14	14
REIMBURSEMENTS AND ALLOCATIONS			
Positions	193	193	193
Full-time Equivalent Workyears	221	224	220
GRAND TOTAL - FHWA			
FINANCIAL RESOURCES			
Budget Authority	18,294,556	21,144,719	20,999,761
Obligations	18,395,786	21,422,027	20,911,258
Obligation Limitations	16,171,389	18,420,500	18,515,500
Outlays	15,511,395	18,024,792	20,205,408
Liquidating Cash Appropriations	15,522,000	19,075,000	18,078,000
PERSONNEL RESOURCES			
POSITIONS:			
Direct	3,612	3,632	3,632
Financed from transfer and reimbursable accounts	193	193	193
Total Positions	3,805	3,825	3,825
FULL-TIME EQUIVALENTS:			
Direct	3,603	3,665	3,608
Financed from transfer and reimbursable accounts	221	224	220
Total, Subject to Ceiling	3,824	3,889	3,828
Not subject to Ceiling	85	82	81
Total Full-time equivalents	3,909	3,971	3,909

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

None of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of [$15,326,750,000] *$15,740,572,250* for Federal-aid highways [and highway safety construction programs] for fiscal year [1993] *1994*.

FEDERAL-AID HIGHWAYS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

For carrying out the provisions of title 23, United States Code, that are attributable to Federal-aid highways, [including the National Scenic and Recreational Highway as authorized by 23 U.S.C. 148, not otherwise provided, including reimbursements for sums expended pursuant to the provisions of 23 U.S.C. 308, $19,000,000,000] *$17,500,000,000* or so much thereof as may be available in and derived from the Highway Trust Fund, to remain available until expended.

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

ECONOMIC STIMULUS SUPPLEMENTAL

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

The language under this heading in the Department of Transportation and Related Agencies Appropriations Act, 1993 is amended by deleting "$15,326,750,000" and inserting "$18,303,000,000": Provided, That section 310(c) of said Act is amended by renumbering existing subsection (2) as subsection (2)(B) and by adding a new subsection (2)(A) as follows:

"(2)(A) sixty days after distribution of any increase in the fiscal year 1993 obligation limitation, as enacted October 6, 1992, revise the distribution of such increased funds under subsection (a) if a State has not obligated and received bids on projects for the increased amount distributed, and redistribute amounts to all States able to obligate amounts on projects for which bids can be received no later than August 1, 1993.

INVESTMENT INITIATIVE

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

The obligation limitation of $15,740,572,250 otherwise applicable under this head for fiscal year 1994 is increased by $2,657,427,750, and the increase is subject to the same terms and conditions.

Note - Authorizing legislation is required for the Federal Lands program for $36,000,000 in contract authority.

FEDERAL-AID HIGHWAYS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

In addition to amounts otherwise available under this head, and subject to the same terms and conditions, $500,000,000.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

GENERAL STATEMENT

(Dollars in Thousands)

	FY 1993	FY 1993 Supplemental	FY 1994 Base Request	FY 1994 Investment Initiative
Contract Auth.	$20,669,913	---	20,836,431	36,000
Obligations	$17,668,425	2,976,250	17,857,581	2,657,428
Oblig. Limit.	$15,326,750	2,976,250	15,740,572	2,657,428
Liqu. Cash Appropriation	$19,000,000	---	17,500,000	500,000

Background

The Federal-Aid Highways (FAH) budget authority consists of several programs designed to aid in the construction, rehabilitation, traffic management, and safety of our Nation's highways as well as other forms of surface transportation at the discretion of the States. This account is funded by contract authority found in substantive legislation currently provided by the six-year (1992-1997) Intermodal Surface Transportation Efficiency Act of 1991 (P.L. 102-240, ISTEA).

All programs included within FAH are financed from the Highway Trust Fund and distributed via apportionments and allocations to the States. Liquidating cash appropriations are subsequently requested to fund outlays resulting from obligations incurred under contract authority.

FY 1994 Program

Passage of the ISTEA significantly increased funding for FAH programs and created new programs with additional responsibilities. Some of the major components include: the National Highway System (NHS), an identified system of interconnected and strategically located interstates and arterial routes designed to foster national productivity and mobility by enhancing interregional commerce and personal transportation; a Surface Transportation Program (STP) with increased flexibility to allow State and local governments to effectively address metropolitan and rural transportation issues; and a Bridge Program with special funds to assist the States in rehabilitating or replacing deficient and/or obsolete bridges.

A number of other programs and provisions begun in FY 1992 will be continued or expanded in FY 1994, as in FY 1993. States will be required to move forward on the development of critical management systems (e.g., bridge, pavement, safety, and congestion). In addition, the FHWA Research and Technology program will continue to expand, with a focus on highway research and development, Intelligent Vehicle Highway Systems (IVHS), technology assessment and deployment, and particularly on efforts to expand these activities by engaging in cooperative efforts with the private sector. An emphasis on international highway and transportation activities will continue, especially with regard to technology transfer and training activities.

Full funding of authorized obligation amounts is required to meet the standards set out in the ISTEA. This equates to a program level of $20.5 billion in FY 1994.

The Administration embraces the ISTEA as an example of its commitment to productive, long-term investment, especially through the NHS. Matching the full funding level proposed for FY 1993 through the economic stimulus supplemental appropriations would clearly demonstrate the Nation's continued commitment to infrastructure development. It would also pump much-needed money into the economy and facilitate job expansion in both the private and public sectors.

An FAH obligation limitation commensurate with the amount authorized by the ISTEA, combined with appropriate State and local matching funds and State-only investment, will:
(1) maintain physical conditions on the National Highway System (NHS); (2) replace or rehabilitate structurally deficient bridges; and (3) address more serious performance deficiencies on NHS-eligible highways through new capacity and operational improvements. Also, it will allow additional vital work to be carried out under the Surface Transportation Program and the Congestion Mitigation/Air Quality Improvement Program.

Without a full funding level of $20.5 billion, the development of multi-modal and intermodal concepts would likely suffer because of the States' need to invest in Federal-Aid Highways. With less Federal funding available, States would likely focus on certain priority projects and neglect such areas as Bridge Replacement, Congestion Mitigation, and other projects intended to improve air quality. A lower funding level would also likely reduce the effectiveness of the flexibility provisions of the ISTEA.

The following tables summarize the FY 1993-1994 FAH program; they are followed by individual program justifications:

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

FY 1994 CONGRESSIONAL BUDGET
(Dollars in thousands)

PROGRAM	FY 1993 Regular BUDGET AUTH.	FY 1993 Regular OBLIGATIONS	FY 1993 Supplemental OBLIGATIONS	FY 1993 TOTAL OBLIGATIONS
SUBJECT TO LIMITATION:				
National Highway System	3,491,030	2,914,842	578,805	3,493,647
Surface Transportation Program	3,973,120	3,317,364	658,734	3,976,098
Bridge Program	2,679,140	2,236,953	444,195	2,681,148
Interstate Completion	1,746,000	1,457,826	289,483	1,747,309
Interstate Maintenance	2,825,610	2,359,249	716,444	3,077,693
Interstate Substitutions	232,800	194,377	38,598	232,976
Congestion Mitigation and Air Quality Improvement	997,160	832,581	165,327	997,908
Donor State Bonus	498,580	416,290	82,663	498,953
Intel. Veh. Hwy. Sys.	113,000	181,050	0	181,050
Federal Lands	431,650	440,000	0	440,000
Administration & Research	521,910	549,287	0	549,287
Miscellaneous Programs	742,964	426,931	0	426,931
SUBTOTAL, LIMITATION	18,252,964	15,326,750	2,976,250	18,303,000
NOT SUBJECT TO LIMITATION:				
Emergency Relief:	100,000	551,843	0	551,843
Emergency Relief (Reg.)	100,000	233,143	0	233,143
Emergency Relief (P.L. 101-130)	0	288,700	0	288,700
Emergency Relief (P.L. 102-368)	0	30,000	0	30,000
Minimum Allocation	1,080,460	1,073,729	0	1,073,729
P.L. 102-240 Demos.	1,236,489	449,078	0	449,078
Other Exempt Programs	0	87,025	0	87,025
Bonus Obligation Limitation	0	180,000	0	180,000
SUBTOTAL, EXEMPT	2,416,949	2,341,675	0	2,341,675
GRAND TOTAL, FAH	20,669,913	17,668,425	2,976,250	20,644,675

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

FY 1994 CONGRESSIONAL BUDGET
(Dollars in thousands)

PROGRAM	FY 1994 TOTAL BUDGET AUTH.	FY 1994 Regular OBLIGATIONS	FY 1994 Investment Init. OBLIGATIONS	FY 1994 TOTAL OBLIGATIONS
SUBJECT TO LIMITATION:				
National Highway System	3,482,033	3,001,118	536,510	3,537,628
Surface Transportation Program	3,962,880	3,415,554	613,361	4,028,915
Bridge Program	2,672,235	2,303,164	417,086	2,720,250
Interstate Completion	1,741,500	1,500,976	268,332	1,769,308
Interstate Maintenance	2,819,295	2,429,913	440,589	2,870,502
Interstate Substitutions	232,200	200,130	37,111	237,241
Congestion Mitigation and				0
Air Quality Improvement	994,590	857,224	158,959	1,016,183
Donor State Bonus	497,295	428,612	79,479	508,091
Intel. Veh. Hwy. Sys.	113,000	120,250	0	120,250
Federal Lands	466,538 *	440,000	36,000	476,000
Administration & Research	565,435	477,261	70,000	547,261
Miscellaneous Programs	906,049	566,370	0	566,370
SUBTOTAL, LIMITATION	18,453,050 *	15,740,572	2,657,428	18,398,000
NOT SUBJECT TO LIMITATION:				
Emergency Relief:	100,000	100,000	0	100,000
Emergency Relief (Reg.)	100,000	100,000	0	100,000
Emergency Relief (P.L. 101-130)	0	0	0	0
Emergency Relief (P.L. 102-368)	0	0	0	0
Minimum Allocation	1,150,000	1,125,593	0	1,125,593
P.L. 102-240 Demos.	1,169,381	647,017	0	647,017
Other Exempt Programs	0	64,399	0	64,399
Bonus Obligation Limitation	0	180,000	0	180,000
				0
SUBTOTAL, EXEMPT	2,419,381	2,117,009	0	2,117,009
GRAND TOTAL, FAH	20,872,431 *	17,857,581	2,657,428	20,515,009

* This amount reflects an additional $36 million in contract authority which will be requested in the FY 1994 Investment Initiative.

FEDERAL HIGHWAY ADMINISTRATION
FEDERAL-AID HIGHWAY PROGRAM, FY 1994

(Dollars in Thousands)

National Highway System	FY 1993	FY 1994
Contract Authority	3,491,030	3,482,033
Obligations	2,914,842	3,001,118
Supplemental Obligations	578,805	0
Investment Init. Obligations	0	536,510
Total Obligations	3,493,647	3,537,628

Background

The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 authorizes the development of a proposed National Highway System (NHS) consisting of 155,000 miles (plus or minus 15%) of major roads in the United States. The proposed NHS will include all Interstate routes, a large percentage of urban and rural principal arterials, the defense strategic highway network, and major strategic highway connectors. The proposed system, which will be developed in consultation with the States, must be designated by law by September 30, 1995. In the interim, NHS funds may be used on highways classified as principal arterials. The NHS funding level is $21 billion for the 6 years authorized by the ISTEA. A State may choose to transfer up to 50 percent of the NHS funds to the new STP program. If the Secretary approves, 100 percent may be transferred. The Federal share for the NHS is 80 percent except the Interstate portion where it is generally 90 percent with an availability period of 4 years.

Surface Transportation Program	FY 1993	FY 1994
Contract Authority	3,973,120	3,962,880
Obligations	3,317,364	3,415,554
Supplemental Obligations	658,734	0
Investment Init. Obligations	0	613,361
Total Obligations	3,976,098	4,028,915

Background

The Intermodal Surface Transportation Efficiency Act of 1991 established a new Surface Transportation Program (STP). The STP is a flexible program that may be used by the States and localities for any roads (including NHS) that are not functionally classified as local or rural minor collectors. These roads are now collectively referred to as Federal-aid highways. Bridge projects paid for with STP funds are not restricted to Federal-aid highways but may be on any public road. Transit capital projects are also eligible under this program. The total funding for the STP over the 6-year authorization period is $23.9 billion. However, this level may be augmented by the transfer of funds from other programs and by equity adjustments which may be used as if they were STP funds. Once the funds are distributed to the States, each State must set aside these percentages:

10% for safety construction

10% for transportation enhancement

50% divided among areas of over 200,000 population and remaining areas of the State

30% can be used in any area of the State

Also, areas of 5,000 population or less are guaranteed an amount based on previous Secondary funding. The Federal share for the STP is 80 percent and has a 4 year availability period.

Bridge Program	FY 1993	FY 1994
Contract Authority	2,679,140	2,672,235
Obligations	2,236,953	2,303,164
Supplemental Obligations	444,195	0
Investment Init. Obligations	0	417,086
Total Obligations	2,681,148	2,720,250

Background

The Bridge Replacement and Rehabilitation Program is continued as the Bridge Program at a total authorization level of $16.1 billion to provide assistance for bridges on public roads. The program is similar to previous years in its apportionment formula and requirements. However, newly eligible types of work are bridge painting, seismic retrofitting, and calcium magnesium applications. A discretionary set aside is continued for high cost bridges, although at a lower level than previously provided. The set aside ranges from $57 million to $69 million. A part of this set aside, approximately $8.5 million is to be used for timber bridge research and technology and construction grants. Bridges on Indian reservation roads are also given special attention. Besides the inventorying and inspection of these bridges, 1 percent of a State's annual bridge apportionment is to be used for eligible bridge projects. Forty percent of a State's bridge funds may be transferred to the NHS or the STP. The Federal share for the Bridge Program is 80 percent with an availability period of 4 years.

Interstate Completion	FY 1993	FY 1994
Contract Authority	1,746,000	1,741,500
Obligations	1,457,826	1,500,976
Supplemental Obligations	289,483	0
Investment Init. Obligations	0	268,332
Total Obligations	1,747,309	1,769,308

Background

The ISTEA of 1991 authorizes a total of $7.2 billion through FY 1995 to complete the Interstate System. Currently, 36 States have completed their Interstate construction programs. Nationwide, 42,692 miles or 99.8 percent of the 42,796-mile system is open to traffic as of December 31, 1992. Although a part of the NHS, the Interstate System retains its separate identity and receives separate funding. The States, except Massachusetts, will receive yearly apportionments based on each State's proportionate share of the remaining needs in the 1991 Interstate Cost Estimate, excluding Massachusetts' cost to complete. Massachusetts will receive a specified yearly allocation of Interstate construction funds that approximates its construction schedule. Interstate Construction has a Federal share generally of 90 percent.

Interstate Maintenance	FY 1993	FY 1994
Contract Authority	2,825,610	2,819,295
Obligations	2,359,249	2,429,913
Supplemental Obligations	718,444	0
Investment Init. Obligations	0	440,589
Total Obligations	3,077,693	2,870,502

Background

The ISTEA of 1991 establishes the Interstate Maintenance program, which basically replaces the I-4R program. This program finances projects to rehabilitate, restore, and resurface the Interstate System providing $17 billion over the life of the bill. Reconstruction of bridges, interchanges and over crossings along existing Interstate routes is also an eligible activity if it does not add capacity other than high occupancy vehicles (HOV) and auxiliary lanes. The Federal share for this program is 90 percent. Availability is set at 4 years.

Interstate Substitutions	FY 1993	FY 1994
Contract Authority	232,800	232,200
Obligations	194,377	200,130
Supplemental Obligations	38,598	0
Investment Init. Obligations	0	37,111
Total Obligations	232,975	237,241

Background

The ISTEA of 1991 authorizes $240 million (prior to administrative takedowns) from the Highway Account of the Highway Trust Fund for highway substitute projects in fiscal years 1992, 1993, 1994, and 1995. The current formula for apportioning Interstate Substitution funds is basically the same as in STURAA of 1987, i.e., based on an estimate of the cost to complete. However, all funds authorized are apportioned on the basis of the estimate which is adjusted each year. The Federal share for this program is 85 percent; the funds are available for 2 years, except the final apportionment, which is available until expended.

Congestion Mitigation & Air Quality Improvement Program	FY 1993	FY 1994
Contract Authority	997,160	994,590
Obligations	832,581	857,224
Supplemental Obligations	165,327	0
Investment Init. Obligations	0	158,959
Total Obligations	997,908	1,016,183

Background

The Congestion Mitigation and Air Quality Improvement Program allocates $6 billion to States to improve air quality in non-attainment areas for ozone and carbon monoxide. A wide range of transportation activities are eligible, as long as DOT, after consultation with EPA, determines they are likely to help meet national ambient air quality standards. If a state has no non-attainment areas, the funds may be used as if they were STP funds. The Federal share of this program is 80 percent.

Donor State Bonus	FY 1993	FY 1994
Contract Authority	498,580	497,295
Obligations	416,290	428,612
Supplemental Obligations	82,663	0
Investment Init. Obligations	0	79,479
Total Obligations	498,953	508,091

Background

The ISTEA of 1991 authorizes payments of Donor State Bonus amounts from the Highway Trust Fund. Donor States are those that contribute more to the Highway Trust Fund than they receive back in Federal-aid highway programs. Donor States receive a predetermined amount based on a comparison of a projection of all payments into the Highway Trust Fund and the amount received in Federal-aid apportionments. Starting with the State with the lowest return, States are brought up to the level of return for States with the next higher level of return until available funds are depleted.

Intelligent Vehicle Hwy. Systems	FY 1993	FY 1994
Contract Authority	113,000	113,000
Obligations	181,050	120,250

Background

An Intelligent Vehicle Highway System (IVHS) program is established in Title VI of the ISTEA of 1991 and is authorized at approximately $660 million for the 6-year authorization period. There are requirements for the promotion of compatible standards and protocols to promote widespread use of IVHS technologies, the establishment of evaluation guidelines for IVHS operational tests, and the establishment of an information clearinghouse. Demonstration by 1997 of a "prototype" automated highway and vehicle system is required. An IVHS Corridors program is established to provide for operational tests and implementation projects under "real world" conditions. Corridors which meet certain transportation and environmental criteria will be designated to participate in developing and implementing IVHS technologies. The Federal share is 80 percent for those programs with availability until expended. Also supported are innovative, high-risk projects (at 100% Federal share) and other activities necessary to implement the National IVHS Strategic Plan.

Federal Lands	FY 1993	FY 1994
Contract Authority	431,650	466,538*
Obligations	440,000	440,000
Investment Init. Obligations	0	36,000
Total Obligations	440,000	476,000

* This amount reflects an additional $36 million in contract authority which will be requested for FY 1994.

Background

The Federal Lands Highways (FLH) program authorizations, previously available through four categories, are now provided through three categories: Indian Reservation Roads, Parkways and Park Roads, and Public Lands Highways (incorporates the previous Forest Highway category). Total funding for FLH is $2.6 billion. The funds are allocated on the basis of relative need. The Forest Highway portions of Public Lands Highways and Indian Reservation Roads authorizations are allocated by administrative formula. FLH has a Federal share of 100 percent and an availability period of 4 years.

Administration and Research	FY 1993	FY 1994
Drawdown Contract Authority	521,910	565,435
Obligations	549,287	477,261
Investment Init. Obligations	0	70,000
Total Obligations	549,287	547,261

Background

Section 104 of Title 23, United States Code, authorizes the Secretary of Transportation to deduct up to 3.75 percent of certain sums authorized prior to apportionment for the administration of Federal-aid highways and for conducting highway research and development activities. These takedowns, deducted prior to apportionment of funds to the States, remain available until expended. For FY 1994, $488.961 million will be transferred to and utilized under the "Limitation on General Operating Expenses." Supporting justification for use of the amount transferred is contained under that portion of the budget document.

Minimum Allocation	FY 1993	FY 1994
Contract Authority	1,080,580	1,150,000
Obligations	1,073,729	1,125,593

Background

In fiscal years 1992-1997, each State is guaranteed an amount so that its percentage of total apportionments in each fiscal year of Interstate Construction, Interstate Maintenance, Interstate Substitution, National Highway System, Bridge Program, Surface Transportation Program, Scenic Byways, and Safety Belt and Motorcycle Helmet grants and allocations from any of these programs received in the prior year must not be less than 90 percent of the State's percentage of estimated Highway Trust Fund contributions. The contributions are based upon the latest year for which data are available.

P.L. 102-240 Demos	FY 1993	FY 1994
Contract Authority	1,236,489	1,169,381
Obligations	449,078	647,017

Background

Included are the following P.L. 102-240 Demos: High Cost Bridge Projects (Sec. 1103), Congestion Relief Projects (Sec. 1104), High Priority Corridors (Sec. 1105), High Priority Corridors Feasibility Studies (Sec. 1105(h)), Rural Access Projects (Sec. 1106(a)), Urban Access Projects (Sec. 1106(b)), Innovative Projects (Sec. 1107), Priority Intermodal Projects (Sec. 1108), and the National Center for Advanced Transportation Technology (Sec. 6023(b)(10)(C)).

Bonus Obligation Limitation	FY 1993	FY 1994
Obligations	180,000	180,000

Background

The ISTEA of 1991 authorizes additional obligations to a State which obligates, after August 1 and on or before September 30 of fiscal years 1993-1997, the entire amount distributed to it for Federal-aid highways in that fiscal year. An eligible State may obligate for Federal-aid highways, by the end of the fiscal year, up to an additional 5 percent of the aggregate amount of funds apportioned or allocated to that State under sections 104, 144, and 103(e)(4) of Title 23, United States Code. The aggregate amount which may be obligated by all States eligible for the bonus shall not exceed 2.5 percent of the aggregate amounts apportioned or allocated to all States under the above sections of Title 23.

Miscellaneous Programs	FY 1993	FY 1994
Contract Authority	742,964	906,049
Obligations	426,931	566,369

Background

This category includes other programs and activities not limited to the following: Ferry Boat Construction (Sec. 1064), Scenic Byways Technical Assistance (Sec. 1047(a&b)), Interim Scenic Byways Program (Sec. 1047(f)), Bureau of Transportation Statistics (Sec. 6006), University Transportation Centers (Sec. 6023), University Research Institutes (Sec. 6024), Tax Evasion Project (Sec. 1040), and other miscellaneous activities. The Hold Harmless equity adjustment category is also included in this group of miscellaneous programs.

Emergency Relief	FY 1993	FY 1994
Contract Authority	100,000	100,000
Obligations	551,843	100,000

Background

The Emergency Relief (ER) program provides funds for the repair and reconstruction of Federal-aid highways and Federally-owned roads which have suffered serious damage as the result of natural disasters or catastrophic failures. The ISTEA of 1991 modifies previous law slightly. The territorial limitation was raised to $20 million per fiscal year. The number of days a State or territory has to make emergency repairs in order to receive 100 percent Federal share is increased to 180 days.

Federal Disaster Assistance is budget authority provided under P.L. 101-130 to aid States in rebuilding highways damaged during disasters in 1989. Obligations for FY 1993 include aid to the State of California to support rebuilding efforts underway in San Francisco to repair damage caused by the October 1989 earthquake. Additional obligations result from P.L. 102-368 to aid in the recovery from Hurricanes Andrew and Iniki and Typhoon Omar.

Other Exempt Programs	FY 1993	FY 1994
Obligations	87,025	64,399

These programs are prior year exempt programs with no new authority in FY 1993 and FY 1994.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS
ADMINISTRATIVE TAKEDOWN ANALYSIS
(Dollars in Thousands)

	AMOUNT
Takedown balance, 9/30/91	255,324
Add: Takedown from:	
Nat. Hwy. Prog., Surf. Trans. Prog., Interstate Cons./Main./Subs., Cong. Mit./Air Qual., Bridge Prog., Fed. Lands, Donor State Bonus ($14,838,000 @ 2.75%)	408,045
Takedown available for FY 1992	663,369
Less: FY 1992 programs charged to takedown:	
General Operating Expenses (including unobligated balance)	−427,574
Other programs subject to limitation: Oper. Lifesaver, Cong. Pricing, Model Intermodal, Trans. Asst., SHRP Impl., Eisenhower Prog., Seismic R&D, Asphalts	−54,300
Exempt programs: Applied Research & Development	−35,000
Takedown balance, 9/30/92	146,495
Add: Takedown from:	
Nat. Hwy. Prog., Surf. Trans. Prog., Interstate Cons./Main./Subs., Cong. Mit./Air Qual., Bridge Prog., Fed. Lands, Donor State Bonus ($17,397,000 @ 3.00%)	521,910
Takedown available for FY 1993	668,405
Less: FY 1993 programs charged to takedown:	
General Operating Expenses	−398,000
Other programs subject to limitation: Oper. Lifesaver, Cong. Pricing, Trans. Asst., SHRP Impl., Eisenhower Prog., Seismic R&D, Asphalts, Border Cross. Study, Nat. Rec. Trails, Office of Intermodalism, Infrastructure Investment Commission	−65,150
Exempt programs: Applied Research & Development	−41,000
Takedown balance, 9/30/93	164,255
Add: Takedown from (est.):	
Nat. Hwy. Prog., Surf. Trans. Prog., Interstate Cons./Main./Subs., Cong. Mit./Air Qual., Bridge Prog., Fed. Lands, Donor State Bonus ($17,398,000 @ 3.25%)	565,435
Takedown available for FY 1994 (est.)	729,690
Less: FY 1994 programs charged to takedown (est.):	
General Operating Expenses	−418,961
General Operating Expenses (Investment Initiative – IVHS)	−70,000
Other programs subject to limitation: Oper. Lifesaver, Cong. Pricing, Trans. Asst., SHRP Impl., Eisenhower Prog., Seismic R&D, Asphalts, Nat. Rec. Trails, Office of Intermodalism	−74,407
Exempt programs: Applied Research & Development	−41,000
Takedown balance, 9/30/94 (est.)	125,322

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS
STATUS OF AUTHORITY
(Dollars in Thousands)

	Amount
Unobligated authority, 9/30/91	8,050,372
New authority for FY 1992	17,521,414
Rescinded authority in FY 1992	−5,000
Lapsed authority in FY 1992	−1,994
Less: FY 1992 obligations	−17,881,218
Unobligated authority, 9/30/92	7,683,574
New authority for FY 1993	20,669,913
Less: FY 1993 obligations (est.)	−17,668,425
Less: FY 1993 obligations – Supplemental Proposal (est.)	−2,976,250
Unobligated authority, 9/30/93 (est.)	7,708,812
New authority for FY 1994	20,836,431
New authority for FY 1994 – Investment Initiative	36,000
Less: FY 1994 obligations (est.)	−17,857,581
Less: FY 1994 obligations – Investment Initiative (est.)	−2,657,428
Unobligated authority, 9/30/94 (est.)	8,066,234

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS
OUTLAYS AND LIQUIDATING CASH

(Dollars in Thousands)

	Liquidating Cash	Other Appropriations	Total Appropriations
Unexpended appropriations balance, 9/30/91	668,901	861,904	1,530,805
FY 1992 appropriations	15,400,000	30,000	15,430,000
FY 1992 outlays	−15,130,292	−51,308	−15,181,600
Unexpended appropriations balance, 9/30/92	938,609	840,596	1,779,205
FY 1993 appropriations	19,000,000	0	19,000,000
FY 1993 outlays (est.)	−16,900,867	−345,329	−17,246,196
FY 1993 outlays from supplemental request (est.)	−316,440	0	−316,440
Unexpended appropriations balance, 9/30/93 (est.)	2,721,302	495,267	3,216,569
FY 1994 appropriations (est.)	17,500,000	0	17,500,000
FY 1994 appropriations for investment initiative (est.)	500,000	0	500,000
FY 1994 outlays (est.)	−17,101,021	−272,044	−17,373,065
FY 1994 outlays from supplemental request (est.)	−1,895,482	0	−1,895,482
FY 1994 outlays from investment initiative (est.)	−415,445	0	−415,445
Unexpended appropriations balance, 9/30/94 (est.)	1,309,354	223,223	1,532,577

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS
STATUS OF UNFUNDED CONTRACT AUTHORITY
(Dollars in Thousands)

	Amount
Unfunded balance, 9/30/91	29,725,860
Contract Authority, FY 1992	17,491,414
Rescinded authority, FY 1992	−5,000
Lapsed authority, FY 1992	−1,994
Less: FY 1992 liquidating cash appropriation	−15,400,000
Unfunded balance, 9/30/92	31,810,280
Contract Authority, FY 1993	20,669,913
Less: FY 1993 liquidating cash appropriation	−19,000,000
Unfunded balance, 9/30/93	33,480,193
Contract Authority, FY 1994 (est.)	20,836,431
Contract Authority, FY 1994 – Investment Initiative (est.)	36,000
Less: FY 1994 liquidating cash appropriation (est.)	−17,500,000
Less: FY 1994 liquidating cash appropriation – Investment Initiative (est.)	−500,000
Unfunded balance, 9/30/94 (est.)	36,352,624

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Program and Financing (in thousands of dollars)

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
Direct program:			
00.01 National Highway System	2,894,315	2,914,842	3,001,118
00.02 Surface transportation program	3,036,239	3,317,364	3,415,554
00.03 Bridge program	1,802,305	2,236,953	2,303,164
00.04 Interstate completion	1,966,993	1,457,826	1,500,976
00.05 Interstate maintenance	2,480,923	2,359,249	2,429,913
00.06 Interstate substitution	369,807	194,377	200,130
00.07 Congestion mitigation and air quality improvement	339,847	832,581	857,224
00.08 Minimum allocation	1,050,331	1,073,729	1,125,593
00.09 Intelligent vehicle highway systems	19,223	181,050	120,250
00.10 Emergency relief	459,069	551,843	100,000
00.11 Federal lands	375,704	440,000	440,000
00.12 Administration and research	364,358	549,287	477,261
00.13 Miscellaneous programs	2,445,193	1,143,034	1,457,785
00.14 Donor State bonus	276,911	416,290	428,612
00.91 Total direct program	17,881,218	17,668,425	17,857,581
01.01 Reimbursable program	24,727	41,000	41,000
10.00 Total obligations	17,905,945	17,709,425	17,898,581
Financing:			
Unobligated balance, start of year:			
21.40 Appropriation	−612,944	−318,700	...
21.49 Contract authority	−7,437,428	−7,364,874	−10,685,063
Unobligated balance, end of year:			
24.40 Appropriation	318,700	...	...
24.49 Contract authority	7,364,874	10,685,063	13,663,913
25.00 Unobligated balance expiring	1,994	...	...
39.00 Budget authority (gross)	17,541,141	20,710,913	20,877,431
Budget Authority:			
Current:			
40.00 Appropriation	15,430,000	19,000,000	17,500,000
40.49 Portion applied to liquidate contract authority	−15,400,000	−19,000,000	−17,500,000
43.00 Appropriation (total)	30,000	...	...
Permanent:			
68.00 Spending authority from offsetting collections (new)	24,727	41,000	41,000
69.10 Contract authority (Public Laws 100–17 and 102–240)	17,491,414	20,669,913	20,836,431
69.36 Contract authority rescinded	−5,000	...	...
69.90 Contract authority (total)	17,486,414	20,669,913	20,836,431

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Program and Financing (in thousands of dollars)

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Relation of obligations to outlays:			
71.00 Total obligations	17,905,945	17,709,425	17,898,581
Obligated balance, start of year:			
72.40 Appropriation	917,861	1,460,506	3,533,010
72.49 Contract authority	22,288,432	24,445,406	22,795,131
Obligated balance, end of year:			
74.40 Appropriation	−1,460,506	−3,533,010	−3,659,944
74.49 Contract authority	−24,445,406	−22,795,131	−23,152,712
87.00 Outlays (gross)	15,206,327	17,287,196	17,414,065
Adjustments to budget authority and outlays:			
Deductions for offsetting collections:			
88.00 Federal funds	−23,191	−36,395	−35,295
88.30 Trust funds	−93	−100	−200
88.40 Non–Federal sources	−1,443	−4,505	−5,505
88.90 Total, offsetting collections	−24,727	−41,000	−41,000
89.00 Budget authority (net)	17,516,414	20,669,913	20,836,431
90.00 Outlays (net)	15,181,600	17,246,196	17,373,065

Status of Unfunded Contract Authority (in thousands of dollars)

Balance, start of year	29,725,860	31,810,280	33,480,193
Contract authority	17,491,414	20,669,913	20,836,431
Contrct Authority – Investment initiative			36,000
Contract authority rescinded	−5,000	...	...
Unfunded balance lapsing	−1,994	...	...
Appropriation from highway trust fund to liquidate contract authority	−15,400,000	−19,000,000	−17,500,000
Appropriation from highway trust fund to liquidate Contract authority – Investment initiative			−500,000
Unfunded balance, end of year	31,810,280	33,480,193	36,352,624

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Object Classification (in thousands of dollars)

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
ALLOCATION ACCOUNTS			
Personnel Compensation:			
11.1 Full–time permanent	18,584	23,398	23,054
11.3 Other than full–time permanent	5,215	6,493	6,393
11.5 Other personnel compensation	1,033	1,307	1,282
11.8 Special personal services payments	43	53	53
11.9 Total personnel compensation	24,875	31,251	30,782
12.1 Civilian personnel benefits	4,311	5,463	5,392
21.0 Travel and transportation of persons	2,364	2,923	2,861
22.0 Transportation of things	1,676	2,069	2,035
23.3 Communications, utilities, and miscellaneous charges	3,770	4,825	4,711
24.0 Printing and reproduction	91	108	108
25.2 Other services	101,577	125,914	120,826
26.0 Supplies and materials	3,587	4,414	4,310
31.0 Equipment	1,601	2,014	1,975
32.0 Land and structures	40,097	52,095	50,348
41.0 Grants, subsidies, and contributions	25,507	30,620	13,870
42.0 Insurance claims and indemnities	2	3	3
99.0 Subtotal obligations, allocation accounts	209,458	261,699	237,221

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Object Classification (in thousands of dollars)

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
REIMBURSABLE ACCOUNTS			
Personnel Compensation:			
11.1 Full–time permanent	4,463	4,890	5,013
11.3 Other than full–time permanent	564	482	505
11.5 Other personnel compensation	177	157	159
11.9 Total personnel compensation	5,204	5,529	5,677
12.1 Civilian personnel benefits	889	953	977
21.0 Travel and transportation of persons	1,216	477	477
22.0 Transportation of things	261	293	293
23.3 Communications, utilities, and miscellaneous charges	243	259	259
24.0 Printing and reproduction	173	91	91
25.2 Other services	7,170	16,822	5,998
26.0 Supplies and materials	729	1,150	1,160
31.0 Equipment	3,651	4,521	4,136
32.0 Land and structures	400	2,650	12,577
93.0 Limitation on general operating expenses	4,791	8,255	9,355
99.0 Subtotal obligations, reimbursable accounts	24,727	41,000	41,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Object Classification (in thousands of dollars)

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
FEDERAL HIGHWAY ADMINSTRATION			
Direct obligations:			
Personnel Compensation:			
11.1 Full–time permanent	7,966	8,669	9,116
11.3 Other than full–time permanent	725	1,404	1,491
11.5 Other personnel compensation	829	918	963
11.9 Total personnel compensation	9,520	10,991	11,570
12.1 Civilian personnel benefits	1,652	1,845	1,940
21.0 Travel and transportation of persons	1,955	2,050	2,131
22.0 Transportation of things	786	834	878
23.3 Communications, utilities, and miscellaneous charges	315	340	364
24.0 Printing and reproduction	151	165	171
25.2 Other services	16,656	22,526	18,172
26.0 Supplies and materials	307	331	342
31.0 Equipment	9	11	11
32.0 Land and structures	177,853	210,055	186,045
41.0 Grants, subsidies, and contributions	17,121,114	16,673,438	16,979,772
42.0 Insurance claims and indemnities	3	3	3
93.0 Limitation on general operating expenses (see separate schedule)	341,437	484,137	418,961
99.0 Subtotal, direct obligations	17,671,760	17,406,726	17,620,360

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Personnel Summary

Identification code: 69–8083–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
FEDERAL HIGHWAY ADMINISTRATION			
Direct: Total compensable workyears:			
Full–time equivalent employment	286	280	276
Full–time equivalent of overtime and holiday hours	12	12	12
Reimbursable: Total compensable workyears:			
Full–time equivalent employment	144	151	149
Full–time equivalent of overtime and holiday hours	6	6	6
ALLOCATION ACCOUNTS			
Total compensable workyears:			
Full–time equivalent employment	617	743	731
Full–time equivalent of overtime and holiday hours	33	40	40

ECONOMIC STIMULUS SUPPLEMENTAL

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

Program and Financing (in thousands of dollars)

Identification code: 69-8083-1-7-401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
Direct program:			
00.01 National Highway System	...	578,805	...
00.02 Surface transportation program	...	658,734	...
00.03 Bridge program	...	444,195	...
00.04 Interstate completion	...	289,483	...
00.05 Interstate maintenance	...	718,444	...
00.06 Interstate substitution	...	38,598	...
00.07 Congestion mitigation and air quality improvement	...	165,327	...
00.14 Donor State bonus	...	82,663	...
10.00 Total obligations (object class 41.0)	...	2,976,250	...
Financing:			
21.49 Unobligated balance available, start of year: Contract authority	...	...	2,976,250
24.49 Unobligated balance available, end of year: Contract authority	...	(2,976,250)	(2,976,250)
39.00 Budget authority (gross)	...	...	...
Relation of obligations to outlays:			
71.00 Total obligations	...	2,976,250	...
Obligated balance, start of year:			
72.40 Appropriation	...	...	(316,440)
72.49 Contract authority	...	...	2,976,250
Obligated balance, end of year:			
74.40 Appropriation	...	316,440	2,211,922
74.49 Contract authority	...	(2,976,250)	(2,976,250)
90.00 Outlays (net)	...	316,440	1,895,482

INVESTMENT INITIATIVE

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Program and Financing (in thousands of dollars)

Identification code: 69–8083–7–7–401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
Direct program:			
00.01 National Highway System	...	...	536,510
00.02 Surface transportation program	...	...	613,361
00.03 Bridge program	...	...	417,086
00.04 Interstate completion	...	...	268,332
00.05 Interstate maintenance	...	...	440,589
00.06 Interstate substitution	...	...	37,111
00.07 Congestion mitigation and air quality improvement	...	...	158,959
00.11 Federal lands	...	...	36,000
00.12 Administration and research – IVHS	...	...	70,000
00.14 Donor State bonus	...	...	79,479
10.00 Total obligations	...	...	2,657,428
Financing:			
24.49 Unobligated balance available, end of year: Contract authority	...	...	(2,621,428)
39.00 Budget authority (gross)	...	...	36,000
Budget Authority:			
Current:			
40.00 Appropriation	...	...	500,000
40.49 Portion applied to liquidate contract authority	...	...	(500,000)
43.00 Appropriation (total)	...	...	...
Permanent:			
69.10 Contract authority	...	...	36,000
Relation of obligations to outlays:			
71.00 Total obligations	...	...	2,657,428
Obligated balance, end of year:			
74.40 Appropriation	...	...	(84,555)
74.49 Contract authority	...	...	(2,157,428)
90.00 Outlays (net)	...	...	415,445

INVESTMENT INITIATIVE

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL–AID HIGHWAYS

Object Classification (in thousands of dollars)

Identification code: 69–8083–7–7–401	1992 Actual	1993 Estimate	1994 Estimate
FEDERAL HIGHWAY ADMINSTRATION			
Direct obligations:			
Personnel Compensation:			
32.0 Land and structures	...	...	36,000
41.0 Grants, subsidies, and contributions	...	...	2,551,428
93.0 Limitation on general operating expenses	...	...	70,000
99.0 Subtotal, direct obligations	...	...	2,657,428

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Necessary expenses for administration, operation, including motor carrier safety program operations, and research of the Federal Highway Administration not to exceed [$398,000,000] *$418,961,000* shall be paid in accordance with law from appropriations made available by this Act to the Federal Highway Administration together with advances and reimbursements received by the Federal Highway Administration: *Provided*, That not to exceed [$115,000,000] *$116,260,000* of the amount provided herein shall remain available until expended: *Provided further*, That, notwithstanding any other provision of law, there may be credited to this account funds received from States, counties, municipalities, other public authorities, and private sources, for training expenses incurred for non-Federal employees.

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

In addition to amounts otherwise available under this head, and subject to the same terms and conditions, $70,000,000, to remain available until expended.

GENERAL OPERATING EXPENSES
FY 1994 CONGRESSIONAL SUBMISSION

4/07/93

(Dollars in Thousands)

		ADJUSTMENTS TO BASE								
	FY 1993 APPN.	1993 PAY ACT ANNUAL.	MERIT PAY & WIGs	INFL.	OFFICE SPACE RENT	FTE REDUCT.	LESS NON–RECUR.	FY 1993 ADJUSTED BASE	PROGRAM CHANGES	TOTAL FY 1994 REQUEST
PERSONNEL RESOURCES:										
Full–time Permanent Pos.	3,372							3,372		3,372
FTE Subject to Ceiling:	3,406					(88)		3,318		3,318
Full–Time Permanent	3,285					(84)		3,201		3,201
Other than FTP	121					(4)		117		117
FTE Not Subject to Ceiling	83					(2)		81		81
FINANCIAL RESOURCES:										
Salaries and Benefits	$196,708	$1,951	$2,309			($4,944)		$196,024		$196,024
Travel	14,497			392				14,889		14,889
Transportation	1,572			42				1,614		1,814
Rent, Comm., & Util.	7,162			193	17,524			24,879		24,879
Printing	661			17				678		678
Other Services:	164,250			4,435			(15,141)	153,544	83,827	237,371
Contract Programs	114,483			3,091			(15,141)	102,433	83,827	186,260
Research & Technology:	100,543			2,715			(10,248)	93,010	81,500	174,510
Hwy.Res.,Dev. & Tech.	48,043			1,297			(6,640)	42,700		42,700
Intelligent Veh.\Hwy. Sys.	30,000			810				30,810	70,000	100,810
Tech. Deployment	8,000			216				8,216	6,784	15,000
LTP Performance	6,000			162				6,162	3,838	10,000
Local Rural Tech. Assist.	4,000			108			(3,608)	500		500
Nat'l Hwy. Institute	4,500			122				4,622	878	5,500
Multi–Modal Studies	3,000			81			(3,081)	0		0
Min. Bus. Enterprise	8,000			216				8,216	1,784	10,000
Hwy. Inv. & User Cost	750			20			(770)	0		0
International Transp.	250			7				257	543	800
Rehab. of TFHRC	1,940			52			(1,042)	950		950
Other Programs	49,767			1,344				51,111		51,111
Working Capital Fund	26,141			706				26,847		26,847
Other	23,626			638				24,264		24,264
Supplies	2,471			67				2,538		2,538
Equipment	10,679			289				10,966		10,968
Total Limitation	$398,000	$1,951	$2,309	$5,435	$17,524	($4,944)	($15,141)	$405,134	$83,827	$488,961

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

GENERAL STATEMENT

The Limitation on General Operating Expenses (LGOE) controls spending for virtually all of the salaries and expenses of the Federal Highway Administration. The resources for this account are derived solely from reimbursements and transfers from other accounts.

An administrative takedown from Federal-Aid Highways, combined with a transfer from Highway-Related Safety Grants, will fund the proposed General Operating Expenses obligations in FY 1994. The tables on the following page reflect the source of funding for FY 1993 and FY 1994.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

SOURCE OF FUNDING

	(In thousands of dollars)	
	Funds Available for FY 1993	Funds Requested for FY 1994
Transfers from:		
Federal-Aid Highways	$397,900	$488,861*
Highway-Related Safety Grants	100	100
Limitation on GOE	**$398,000**	**$488,961***
Unobligated balances:		
Hwy. Res., Dev. & Tech.	10,140	...
Skill Training	173	...
Minority Business	2,832	...
Bonding Demo.	17	...
Interjur. Trucking	12	...
Rural Transp. Assist.	418	...
CDL Trucking Study	9	...
Intell. Veh./Hwy. Systems	3,309	...
Congested Corridors	64,224	...
Tech. Assess. & Deployment	1,875	...
LTP Performance	211	...
SW Indiana Study	2	...
Great River Bridge Study	125	...
Quad Cities Inter. Study	61	...
Va. TSM Study	225	...
Hwy. Usage Data Activities	29	...
Rock Salt Study	11	...
Avenue of the Saints, MN	85	...
National Bicycling	154	...
Central DFD Lab	3	...
Methanol Plantship	39	...
Nat'l Scenic Byways	159	...
University Transp. Centers	7	...
Trucking Education	28	...
Tax Evasion	580	...
Kalispell, MT Bybass	150	...
Tuscalloosa Bridge, AL	159	...
National Highway Institute	89	...
Long-Term Pavement	9	...
Feas. Des., & Envir. Studies	650	...
Multi-Modal Studies	352	...
Subtotal	484,137	488,961*
Plus: Estimated Reimbursables	8,255	9,355
Total Obligations	**$492,392**	**$498,316***

* Includes $70 million for IVHS under the Investment Initiative.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

FINANCIAL REQUIREMENTS

A Limitation on General Operating Expenses of $488.961 million for FY 1994 is proposed, which represents a net increase of $90.961 million when compared to the FY 1993 limitation level of $398 million. Increases are requested for adjustments to base and built-in changes ($22.275 million) and program increases ($83.827 million). Also included is a reduction of $15.141 million for non-recurring no-year programs.

		(Dollars in Thousands)
Analysis of Changes from FY 1993 to FY 1994		
Limitation on General Operating Expenses, FY 1993		$398,000
Adjustments to Base		
Pay Act Annualization	1,951	
Merit Pay & WIG's	2,309	
Inflation	5,435	
Office Space Rent	17,524	
FTE Reduction	-4,944	
Subtotal, Adjustments to Base		22,275
Less Non-Recurring Items		
Other Services:		
Contract Programs:		
Hwy. Res., Dev., & Tech	-6,640	
Local Rural Tech. Assist.	-3,608	
Multi-Modal Studies	-3,081	
Hwy. Inv. & User Cost	-770	
Rehab. of TFHRC	-1,042	
Subtotal, Non-Recurring Items		-15,141
Program Changes		
Other Services:		
Contract Programs:		
Intelligent Vehicle/Highway Systems	70,000	
Tech. Deployment	6,784	
LTP Performance	3,838	
National Highway Institute	878	
Min. Bus. Enterprise	1,784	
International Transp.	543	
Subtotal, Program Changes		83,827
Total FY 1994 Requirements		$488,961

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

NARRATIVE EXPLANATION

	(Dollars in Thousands)
ADJUSTMENTS TO BASE	**+$22,275**
Pay Act Annualization	+1,951

The FY 1993 appropriation included increases for the January 1993 pay act, applicable to 189 working days in FY 1993. An additional $1.951 million for FY 1994 is necessary to cover the additional 72 days required to provide a full year's funding.

Merit Pay and WIG's	+2,309

Within-grade increases and performance management and recognition increases are provided to employees earning a satisfactory or higher annual performance rating. Increases under this category are considered built-in operating costs and therefore are budgeted as adjustments to the FY 1993 base in determining FY 1994 salary needs.

Inflation	+5,435

This amount reflects the effect of an estimated inflation factor of approximately 2.7 percent for all non-salary/benefits items for FY 1994 to cover increased operating costs.

Office Space Rent	+17,524

The cost for office rent is based on information furnished by GSA and OST for field and Washington headquarters space. Prior to this fiscal year, office space rent has been included in a separate appropriation to OST. In FY 1994, we propose to finance rent costs through the Limitation on General Operating Expenses. Consequently, this requested increase is to cover anticipated rent rates to be charged in FY 1994.

FTE Reduction	-4,944

The amount of this reduction represents the cost associated with the elimination of a total of 90 FTEs in FY 1994. This staffing reduction was mandated by President Clinton in Executive Order 12839.

NON-RECURRING ITEMS	**-$15,141**

Three programs, Highway Research, Development, and Technology, Local Rural Technical Assistance, and Rehabilitation of Turner Fairbank Highway Research Center, are requesting lower funding levels in FY 1994 than existed in FY 1993. In addition, two other programs, Highway Investment and User Cost and Multi-Modal Studies, are eliminated in FY 1994.

PROGRAM CHANGES	**+$83,827**

Other Services

Contract Programs:	+83,827

The detailed justification for FHWA's no-year accounts is contained in the no-year funds section which follows.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

GENERAL OPERATING EXPENSES

SUMMARY OF ADP REQUIREMENTS

The various dollar increases in ADP related items are discussed in the preceding narrative by object class. To assure adequate information is provided and to facilitate a thorough review of our administrative ADP requests, we are including the following summary of our resource requirements for ADP:

		FY 1993	FY 1994	CHANGE
2500	Other Services			
	Data Communications	680	698	18
	PMIS	325	334	9
	TCC	12,017	12,341	324
	Maintenance	480	493	13
	Training	515	529	14
	Systems & Programming	3,523	3,618	95
	Other Cont. Services	1,447	1,486	39
	Subtotal, Other Services	18,987	19,499	512
2600	Supplies	275	282	7
3100	Equipment	8,738	8,975	237
Total ADP Requirements		**28,000**	**28,756**	**756**

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF CONTRACT PROGRAMS

The following table compares the amounts requested in FY 1994 for our contract programs with the amounts included in the FY 1993 budget:

	(Dollars in Thousands)	
	FY 1993	FY 1994
Research and Technology:	$100,543	$174,510
Hwy. Research, Dev. & Tech.	(48,043)	(42,700)
Intelligent Veh./Hwy. Systems	(30,000)	(100,810)
Long-Term Pavement Performance	(6,000)	(10,000)
Tech. Assess. & Deployment	(8,000)	(15,000)
Local Rural Tech. Assistance	(4,000)	(500)
National Hwy. Institute	(4,500)	(5,500)
Multi-Modal Studies	3,000	...
Minority Business Enterprise	8,000	10,000
Hwy. Inv. & User Cost	750	...
International Transportation	250	800
Rehabilitation of Turner Fairbank	1,940	950
Total No-Year Programs	$114,483	$186,260

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RESEARCH AND TECHNOLOGY
FY 1994 PROGRAM OUTLINE

(Dollars in Thousands)

		FY 1993	FY 1994	CHANGE
A.	HIGHWAYS RESEARCH, DEVELOPMENT, & TECH.	$48,043	$42,700	-5,343
1.	Safety	8,862	5,738	-3,124
2.	Materials	5,923	3,685	-2,238
3.	Pavements	7,278	6,759	-519
4.	Structures	6,203	3,860	-2,343
5.	Environment	4,873	4,080	-793
6.	Right-of-Way	487	320	-167
7.	Policy	7,797	7,369	-428
8.	Planning	2,437	3,189	+752
9.	Motor Carrier	4,183	7,700	+3,517
B.	INTELLIGENT VEHICLE-HIGHWAY SYSTEMS R&D	30,000	100,810	+70,810
1.	Research & Development	17,500	*33,510	+16,010
2.	IVHS Operational Tests	...	15,000	+15,000
3.	Commercial Vehicle Operations	...	10,000	+10,000
4.	Automated Highway System	...	10,000	+10,000
5.	Advanced Technology Appl.	...	20,000	+20,000
6.	IVHS Program & Systems Support	12,500	12,300	-200
C.	LONG-TERM PAVEMENT PERFORMANCE	6,000	10,000	+4,000
D.	TECHNICAL ASSESSMENT & DEPLOYMENT	8,000	15,000	+7,000
E.	LOCAL RURAL TECHNICAL ASSISTANCE PROGRAM	4,000	500	-3,500
F.	NATIONAL HIGHWAY INSTITUTE	4,500	5,500	+1,000
	GRAND TOTAL	**$100,543**	**$174,510**	**+$73,967**

*Includes $9,000 for NHTSA

RESEARCH AND TECHNOLOGY

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
A. HIGHWAY RESEARCH, DEVELOPMENT, & TECHNOLOGY	48,043	42,700	-5,343
1. Safety	8,862	5,738	-3,124

a. Highway Safety Information Management

BACKGROUND

Improved highway safety data collection and analyses will result in more appropriate allocation of highway safety resources, will improve the safety of the highway system, and will decrease traffic delays due to accidents. With the current annual loss of approximately 41,000 lives and economic losses from highway accidents in excess of $300 billion, this research program is needed to aid in creating a safer highway system. Most existing processes and means of identifying highway safety problems are: based on procedures, methods, and systems which are over 30 years old; laced with quality control problems; exceedingly time consuming; and are excessively expensive because of the limited use of new technology.

OBJECTIVES AND APPROACH

This research area is intended to expand the ability of the FHWA, States, and local highway agencies to identify and address highway safety problems by improving the utility of existing State highway safety data, providing quick answers to specific questions, developing advanced technologies for safety data collection, creating improved analysis techniques, and guiding future safety research efforts.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

The major accomplishments in this research area were the development, operation, and enhancement of the Highway Safety Information System (HSIS). The HSIS is a computerized, multi-state data base that links accident, roadway, and traffic data that is already being collected by the States. The HSIS is being used to study current National and State highway safety issues as well as scope future research efforts.

The HSIS is being designed as a state-of-the-art highway safety analysis tool that can serve as a model for future State systems. HSIS does not provide national accident statistics; it continues to be used for analyzing safety problems and scoping future location-based safety research analyses. The capabilities of the

HSIS are also being expanded by identifying and assessing the need for additional data sources (new states, new data types, etc.) and technological improvements (improved computer systems, GIS, etc.). The most promising of these enhancements will be incorporated in the system. To date we have used HSIS in over 25 studies; 4 of these were reported at the 1992 annual Transportation Research Board meetings. Currently, the latest advances in microcomputer technology are being used to store and process the data, video disc photologs are being used to provide a wide range of supplementary roadway data, and access to police accident records on optical disc for accident reconstruction is envisioned.

The program is also examining the potential of emerging technologies for improving safety data and the costs associated with the collection and processing of motor vehicle accident data. Recommendations are being prepared for the further development and/or implementation of emerging technologies (GPS, pen based computers, etc.). Alternative approaches to decrease the cost of the data and increase its quality are also being developed. Finally, a promising new analysis program is being evaluated for a wide range of highway safety analyses.

PLANNED ACCOMPLISHMENTS FOR FY 1993

The FY 1993 program will focus on safety applications for new technologies. Planned research includes: "Operational Evaluation of Emerging Technologies," to test and develop those technologies that can be efficiently utilized in the highway safety data collection process to improve data quality and data collection economics; "Safety Applications of Videodisc/GIS," to develop effective applications of video disc photologs and geographic information systems for safety analysis; "Improved Procedures for Estimating Exposure for Safety Analysis," to develop new techniques for obtaining the vehicle count data (i.e. single tractor trailers versus double trailers) that is crucial for many safety studies, and "Expansion of HSIS states" to provide for the expanded integration and use of HSIS beyond the existing five States, and to provide improved State data for highway safety research and safer highway designs. During FY 1993 it is planned to add 2 more states to HSIS.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The FY 1994 program will focus on operating and maintaining the newly enhanced HSIS. In addition, the versatility and power of HSIS will be greatly increased by adding to HSIS one of the HSIS states that is using GIS. Guidelines will also be developed on how the state data systems can be improved.

b. Human Factors Research for Highway Safety

BACKGROUND

Accident studies have attributed driver error to be involved in as many as 80% of highway accidents. Most of these accidents are not the sole culpability of the driver but are rather caused by a failure of the interaction between driver performance and highway design. The human factors research program focuses on those features of the highway system which have direct interface with the driver; e.g, traffic control devices, geometric design, and traffic operations. Driver characteristics studied include sensory, perceptual, and motor attributes as well as cognitive processes such as information processing and decision making. The focus of the program is to define human characteristics and assure that highway standards are designed to meet these characteristics. Recommendations are produced from each study, addressing specific features of the highway environment. In the long term, driver performance handbooks will be developed to assist researchers, engineers and designers in future decision making regarding the highway. Computer models will also be developed as a means of studying roadway improvements to reduce the frequency and severity of highway accidents.

OBJECTIVES AND APPROACH

The goal of the human factors research program is to reduce the number and severity of accidents by improving the compatibility between the highway design and driver characteristics.

ACCOMPLISHMENTS TO DATE (FY 1992 and PRIOR)

The National Academy of Sciences completed a study, "Improving Safety and Mobility for Older People", in December 1988. The final report, titled *Transportation in an Aging Society*, presents a comprehensive evaluation of the data available at that time on older driver and pedestrian problems and issues. The recommendations made in this report were the basis for the FHWA High Priority Area (HPA) "Improved Highway Travel for an Aging Population".

The first study completed under this HPA determined the extent to which older drivers are adequately accommodated by the current generation of traffic control devices. Analytical and empirical laboratory investigations assessed the sensory-perceptual, psychomotor, and cognitive capacities of older drivers. The findings from this study have been used to further define the research program on older drivers, which is currently underway.

Two of the ongoing studies in the older driver HPA will be completed in FY 1992. "Traffic Maneuver Problems of Drivers with Diminished Capacity" is identifying those driving maneuvers most difficult for older drivers, and will recommend changes in highway design to mitigate older driver difficulties. "Relative

Visibility of Increased Legend Size vs. Brighter Materials" is studying older driver responses to text signs using highly retroreflective sheeting, larger font sizes and other changes to legend characteristics. Recommendations regarding changes to current text sign standards will be made.

Four contracts will be let in FY 1992 in the human factors program. Three of these projects address older driver issues, the fourth addresses more broad ranging human factors issues. The older driver projects will (1) recommend geometric changes at intersections, (2) provide design and implementation recommendations for object markers, and (3) identify older driver freeway needs and capabilities. The fourth FY 1992 contract will conceptualize and define research problems in the areas of driver perception of risk and driver performance variability. The output of the last project will feed into the post 1993 human factors program.

In April 1992, a jointly sponsored Transportation Research Board and Federal Highway Administration workshop on Human Factors Research Priorities for Highway Safety was held in Washington, D.C.

This conference brought together nationally recognized human factors and highway safety experts to identify critical research needs. The results of this conference will form the backbone for the 1994 and beyond human factors highway research program.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Most of the ongoing work is programmed under the HPA, "Improved Highway Travel for an Aging Population." Two studies in the older driver program will be completed in FY 1993. "Older Driver Perception-Reaction Time for Intersection Sight Distance and Object Detection" will provide information on the utility of current sight distance equations for older drivers, and recommend changes to values and models currently used to determine sight distances. "Pavement Markings and Delineation for Older Drivers" is investigating driver responses to a wide variety of pavement marking/delineation systems. Recommendations regarding changes to current standards will be made.

Three other older driver efforts are underway. One will provide design guidelines for symbol signs to accommodate the needs and capabilities of older drivers. The second will provide information and recommendations regarding traffic control at intersections. The third will address the needs of older adult pedestrians, and make recommendations regarding changes to current design practices.

Two new studies will be initiated in FY 1993. A Human Factors Field Research Vehicle will be developed and procured for use in staff research and for use as "Government Furnished Equipment" for contractors performing human factors research. A synthesis study will also be performed to document the current state-of-the-knowledge on older drivers and collate the recommendations of FHWA efforts and other research.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In FY 1994, a new human factors High Priority Area "Highway Safety-Driver Behavior Research Program" will be developed. This program will include input from the final recommendations of the April 1992 TRB/FHWA conference on Human Factors Research Priorities in Highway Safety, and will incorporate the outputs from the FY 1992 contract on driver perception of risk and driver variability. The primary emphasis in this program will be on developing an in-depth understanding of all aspects of the driving task. This information will be applied to determine appropriate standards for highway design, and develop and investigate countermeasures for situations where mismatches exist. The final outputs of this program will be in the form of human factors handbooks developed for use by highway designers, traffic and safety engineers and human factors researchers. Computerized models of the driving task will also be developed. The handbooks will serve as reference guides, to provide an organized repository for information defining human capabilities as they relate to highway safety. The computer models will allow for the conduct of analytical "experiments", which will become a cost-effective mechanism for dealing with some of the future questions which will arise.

In order to fully capture all aspects of human behavior as it relates to the driving task, as well as address all highway safety needs, a very carefully defined program, with multiple "subprograms" will be required. In FY 1994 a contract will be let to provide a structure for this long-range program, to define specific research areas and develop problem statements for research topics necessary to fulfill the mission of the program.

c. Advanced Traffic Control Devices

BACKGROUND

This research seeks improved safety and efficiency of major highways through the application of new, traffic responsive, roadside sign and visibility technology. It will provide conspicuous and timely roadside control and warning assistance to drivers based on current roadway, traffic, and environmental conditions.

OBJECTIVES AND APPROACH

The objective of this research is to improve the traffic control and safety on our streets and highways through the use of new and/or improved traffic control devices and techniques for possible incorporation into the Manual on Uniform Traffic Control Devices. On today's highways, warning and control information is usually provided through a system of signs, signals and markings known as traffic control devices. Most of the signs and markings are "static," meaning the messages never change. However, warning and control device information needs to be recognized, understood, timely, and credible based on roadway, traffic, and environmental conditions, to properly assist the driver. Today the application of new, relatively inexpensive, real-time, roadside technology can be used to provide more meaningful level of warning and control information to the motoring public. Condition-responsive traffic controls, safety advisories, and hazard warnings through the use of traffic control methods and devices will be developed for roadside application. This program is to evaluate immediate roadway safety applications for problem areas such as sign and marking visibility, visibility and use of changeable message signs, warning of adverse environmental conditions such as fog, snow, dust, etc., and advance warning of intersection and other roadway conflicts.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Research is being conducted in three areas which includes completing the current High Priority Area on "Retroreflectivity", initiating research on improving nighttime roadway visibility, and research on the use of condition-responsive traffic control devices.

In the "Retroreflectivity" area, criteria for maintaining in-service retroreflective signs and markings is nearly completed. Prototype measuring devices have been developed and are being field tested which measure the retroreflectivity of signs and markings from moving vehicles. The service life of materials is being determined, and a predictive inventory model is being developed to provide the application of the research results for field use in determining when signs and markings need replacement. In an unrelated but similar study, driver visibility requirements for symbolic traffic signals are being developed.

The feasibility of automatic truck warning systems has been verified. Installation of two of these systems in 1992 will occur on exit ramps on the beltway around Washington, D.C., one in Virginia and one in Maryland. The systems will detect the approach speed of trucks and determine if their speed is inappropriate given the type of truck, environmental conditions, and the sharpness of the ramp curvature.

Because changeable message signs (CMS) have developed with inadequate human factor considerations, field operational problems have risen. Two efforts are underway pertaining to the use and visibility of CMS. These efforts are designed to improve the visibility of CMS and to improve the drivers' understanding of the messages presented on them.

In an effort to develop operational systems which can alert drivers of severe environmental conditions that have led to numerous multi-car chain collisions, we are reviewing and assessing the performance of all kinds of environmental sensors used to detect fog, blowing dust, ice, and other similar conditions. This information will be used in future installations of systems designed to alert drivers of such adverse environmental conditions.

Over half of all highway fatalities occur at night even though night travel is only 25 percent of all highway travel. In FY 1992, a feasibility study is being initiated to determine if stable, long-life fluorescent and ultraviolet technology can be combined to extend, possibly by more than 50 percent, the nighttime visual field of drivers.

PLANNED ACCOMPLISHMENTS FOR FY 1993

In FY 1993, a study will be undertaken to improve the safety, reduce delay, and improve overall operating conditions within work zones by using condition-responsive traffic monitoring and control. A prototype system will be built to alert drivers of adverse visibility conditions by using warning and control systems equipped with various speed and environmental detection systems. Drivers will be alerted through the use of changeable message signs and roadside radio. This research will be particularly valuable in reducing multiple vehicle accidents which occur in fog, dust, or other reduced visibility conditions.

In FY 1993, additional research studies are planned on long-life fluorescent and ultraviolet technology. These studies will assess the developmental problems, industry initiatives, and the safety benefits of employing the new technology.

The final phase of the retroreflectivity program will be to evaluate the on-road performance and state acceptance of the new sign and marking retroreflectometers.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In FY 1994, research will be continued to evaluate the effectiveness of the truck warning systems, the adverse visibility warning systems, and the work zone condition-responsive control systems. The evaluations will also recommend how future systems should be installed and operated. A preliminary assessment will also be initiated to determine other operational problems areas having poor safety records which could be improved or eliminated through the use of simple solutions using off-the-shelf type technology.

d. Pedestrian and Bicycle Safety

BACKGROUND

Pedestrian and bicycle accidents account for approximately 15 percent of all highway fatalities in the U.S. on an annual basis. This program is designed to reduce the 109,000 pedestrian injuries (6,500 fatalities) and the 77,000 bicyclist injuries (850 fatalities) that occur each year on our Nation's highways. Reductions in these accidents will result in significant social and monetary savings. Medical costs as well as lost earnings of pedestrian/bicyclist accident victims currently exceed $28 billion per year. Pedestrian/bicyclist accidents are a persistent problem that has remained at the same level for years.

OBJECTIVES AND APPROACH

Pedestrian safety is a joint responsibility of the Federal Highway Administration (FHWA) and the National Highway Traffic Safety Administration (NHTSA). FHWA is responsible for engineering improvements (e.g., crosswalks, sidewalks, traffic signals, etc.) and NHTSA is responsible for education, training, and law enforcement efforts. Close coordination between the two agencies is essential if pedestrian fatalities and injuries are to be reduced. The long-term objective of this program is to develop procedures for pedestrians that can be incorporated into the normal highway planning, land use planning, and design procedures.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Known safety countermeasures such as curb cuts, longer traffic signal phases, and educational or training programs are being implemented. A study, "Evaluation of Medians and Refuge Islands to Protect Pedestrians," is developing guidelines on how these features can be used to improve pedestrian safety. "The Effect of Bicycle Accommodations on Bicycle/Motor Vehicle Safety and Operation" is studying different ways of constructing bikeways and their subsequent effect on motor vehicle safety and capacity. "Older Pedestrian Characteristics for Use in Highway Design" is evaluating the needs of older adult pedestrians that affect the geometrics and operations of highways. An FY 1992 interagency study with the Center for Disease Control "Trends and Crashes Involving Older Pedestrians" is reviewing and evaluating current procedures for identifying and typing pedestrian/bicycle accidents. The database developed under the Highway Safety Information System will be used to develop an initial classification to the extent possible. Appropriate measures of exposure to hazards (such as numbers of trips or street crossings) will be developed and used to calculate pedestrian accident rates.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Because of widespread interest in pedestrian/bicycle safety, the number of local, State and federal activities underway, there has been a change in the approach taken to conduct this program. In FY 1993, a five-year study "Pedestrian/Bicycle Research Program" will be awarded to develop, manage and conduct pedestrian/bicycle research. This study will build on the existing typing study at the Center for Disease Control, evaluate the existing studies underway at NHTSA and FHWA, and develop a long-range research program.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Due to the award of the "Pedestrian/Bicyclist Research Program" it is not clear what studies will be recommended in the long-range plan developed by the contractor. However the type of studies that are expected will involve the typing of accidents, development of exposures measures and the identification of countermeasures.

e. Highway Safety Design Practices and Criteria

BACKGROUND

Currently, highway design is based on a series of discrete decisions. For example, the decisions on alignment are largely based on the constraints of environmental impacts, right-of-way costs, and construction costs. In the redesign of existing roadways, the available right-of-way is often the deciding factor. Once alignment is established, the highway is designed in two phases: roadway design and roadside design. However, tradeoffs between various design elements based on safety considerations cannot be made because relationships between the design elements and safety generally have not been quantified, or, where relationships are known, they have not been incorporated into the agencies' practices.

OBJECTIVES AND APPROACH

This research is aimed at developing an integrated design process to systematically consider safety effects of roadway and roadside design elements in the development of cost-effective highway design alternatives. This research program will include the identification of critical problem areas through analysis of accident trends and data; the establishment of relationships between highway design features and accidents; the development of procedures and criteria for evaluating the safety cost-effectiveness of design alternatives; the development of a procedure for evaluating the design consistency of a roadway; and the establishment of concurrent procedures for evaluating the safety impacts of the roadway and roadside design phases.

The program will provide the tools for quantifying the safeness of highway design in much the same way that capacity and level of service quantify the traffic-operational performance of streets and highways. It will provide the designer with methods for assessing the safety impacts of design decisions. In this way, alternative designs can be compared on the basis of safety in addition to capacity, cost, and environmental concerns. The ultimate goal is to provide the "safest" highway system in a cost-effective manner.

In meeting the objectives of this area of research, close coordination and cooperation is maintained with studies being conducted under the National Cooperative Highway Research Program (NCHRP). For example, NCHRP Project 3-42, "Determination of Stopping Sight Distance;" NCHRP 15-12, "Roadway Widths for Low Volume Roadways;" and NCHRP 17-9, "Effect of Highway Standards on Safety" are all closely related to this research area.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

In the roadway design area a major study, "Compendium of the Safety Effectiveness of Highway Design Features," is critically reviewing and synthesizing the existing literature on the relationships between accidents and geometric design elements. Where safety relationships have not been established, the appropriate research study statements are being developed to guide future studies. Ongoing studies on present practices of geometric design consistencies and highway design needs will complete our basic understanding of existing safety design procedures and criteria and begin to conceptualize how our future safety model should function. Most of the geometric design criteria are based upon automobiles and considerable work is being done to expand the design criteria to trucks. A study entitled, "Truck Characteristics for Use in Highway Design and Operation" evaluated 16 highway design and traffic operational criteria in relation to the performance characteristics of trucks. Recommendations were developed for accommodating large trucks in the design of highways. "Development of Countermeasures for Truck Accidents on Urban Freeways" is synthesizing countermeasures which different localities have used to reduce truck accidents. "Development of Relationships Between Truck Accidents and Geometric Design" is attempting to define those geometric situations which are over-represented in truck accidents. In FY 1992, a number of experimental design studies will be initiated under "Experimental Plans for Accident Studies of Highway Design Elements." These experimental designs will be based upon the results of the on-going research studies defining the state-of-the-practice in relating safety to design elements. These experimental designs will provide the foundation for all of the accident studies. The experimental designs will focus on areas where safety information could cause significant change in design standards, and define study methodology, costs, and the potential for success.

There are a number of studies now underway to determine the overall performance of current roadside safety hardware. "In-Depth Analysis of Guardrail and Barrier Accidents," is providing baseline information on the conditions (angle, speed, etc.) in which roadside safety hardware is impacted as well as resulting performance. "Side Impact Testing" is a first time evaluation of the problem of side impacts with roadside safety hardware. "Development of Preliminary Severity Indices for Roadside Benefit/Cost Model," will allow the designer to discriminate between various types of roadside safety hardware based upon the severity of the damage to the vehicle. "Traffic Barriers on Curves, Curbs, and Slopes," investigated the performance of existing longitudinal barriers under real world impact conditions using full scale testing. Three pooled-fund studies with State highway agencies are investigating areas where several States have common interests. "Testing of New Bridge Rail and Transition Designs," is developing and testing bridge safety hardware based upon different performance levels. "Testing of Small and Large Sign Supports," is evaluating existing sign supports based upon a new AASHTO specification. "Testing of State Roadside Safety Systems," provides assistance to the States in developing or improving roadside safety hardware. "Aesthetic Bridge Rails" developed a series of crash tested aesthetic guardrails, median barriers and bridge rails for park roads, parkways and other Federal Lands Highway roads. "Development of Roadside Accident Data Collection and Analysis Plan," provided the methodology for the collection of quantitative safety data on accidents and hardware performance.

"Evaluation of Vehicle and Barrier Simulation Models," will summarize simulation model experience over the past twenty years and evaluate the feasibility of using a personal computer (PC) version. "Development of an Upgrading Plan for Highway Safety Simulation Models," in conjunction with a study with the Lawrence Livermore National Laboratory, is identifying a general purpose finite element model that should be used in the next generation of simulation models. This study will also finalize the upgrading plan and develop an implementation plan for developing the models.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Five studies are planned in FY 1993. The first two will be accident studies based on the output from ongoing research that will identify those areas where the relationships between safety and geometrics have not been defined. These areas will be further investigated and refined using the Highway Safety Information System (HSIS). Based upon data developed thus far, two candidate accident studies have been tentatively identified--intersections and rollovers. Two additional studies will form the basis of an interactive highway safety model. One study will develop a procedure for evaluating the consistency of a highway; i.e., do all of the geometric elements fit together logically and provide a safe highway? The second study will be a workshop where results of three earlier studies dealing with conceptual requirements of a safety design model will be reviewed. The fifth study will implement the upgrading plan for the simulation models and initiate the developing of the computer code.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Only two additional starts are planned for FY 1994. Both of these are accident studies. The majority of the effort in 1994 will be the completion of on-going studies and the revision of the long-term research program in this area based on data from the completed studies. It is possible that the remaining work in this area may be consolidated into two long-term research programs.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
2. Materials	5,923	3,685	-2,238

The goal of this research is to provide for the preservation and enhancement of our Nation's highway system through the identification and development of new materials to strengthen and improve performance.

BACKGROUND

In this Program Area, there are currently six High Priority Areas (HPAs) intended to improve the quality of materials used in highway construction. These are: Performance-Related Specifications (PRS), Geotechnology, Steel Bridge Coatings, Prestressed Concrete Protection, Corrosion Control of Structural Elements, and Structural Composites and Adhesives.

The HPA on Performance-Related Specifications is aimed at improving specifications for pavement construction by tying quality control tests more closely to pavement performance. The HPA on Geotechnology is enhancing the understanding of foundation materials and is permitting the design of more efficient and cost-effective bridge foundations, retaining walls, cut-slopes, and embankments. The work on Steel Bridge Coatings is focussing on new coating technology; on the environmental concerns of Volatile Organic Compound (VOC) content; on the safe removal and containment of existing coatings such as lead-based paints; and on application procedures for new coatings designed to extend the service lives of bridge materials.

The HPA on Prestressed Concrete Protection is identifying the extent of corrosion of prestressing steel in concrete bridges and is developing protective measures for corrosion protection. The new HPA on Corrosion Control of Structural Elements is continuing the battle against corrosion by developing cost-effective systems to protect new concrete construction and to rehabilitate existing bridges already suffering from corrosion-caused deterioration. The other new HPA, on Structural Composites and Adhesives, will provide guidance and criteria for the use of adhesives and fiber-reinforced polymer composites in highway structures; adhesives may provide alternatives to welding in many situations, while structural composites offer potential advantages in weight, corrosion resistance, and fatigue performance.

OBJECTIVES AND APPROACH

The objectives of this program are (1) to identify new materials or additives which can be incorporated into highway pavements and structures to strengthen these systems and enhance their service lives; and (2) to develop new techniques for construction and rehabilitation which will extend the lives of materials in both new and existing pavements and structures. High strength concretes, improved steels, composites, adhesives, and timber are among the materials under consideration in response to the first goal, while performance-related specifications, improved ground reinforcement and stabilization techniques, and cathodic protection of reinforcing steel are examples of techniques being developed in response to the second. Environmental concerns are studied wherever appropriate, as are uses of recycled waste materials. Technology developed in the Strategic Highway Research Program (SHRP) is considered for additional research or incorporated into the six HPA's as appropriate.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Studies on PRS for both portland cement concrete and asphalt concrete have produced frameworks for systems of PRS; laboratory-established relationships between materials and construction variables such as density and asphalt content and indicators of pavement performance; plans for field studies to link construction quality indicators, such as degree of dowel misalignment, to pavement performance; and plans for accelerated field tests of pavement sections both conforming and nonconforming to specifications. In Geotechnology, improved guidelines for the design of permanent ground anchors have been developed from field tests of full-scale and laboratory models. Improved design methods for pile length estimation, capacity prediction, and driveability analysis have been developed from an analysis of pile driving data correlated with penetration test data from soil borings. Steel bridge coating research has identified durable coating materials for bridges that will meet proposed new rules limiting Volatile Organic Compound content; it has also produced guidelines for the safe removal, containment, and disposal of lead-containing paints.

Prestressing steel in concrete members will be better protected against corrosion through use of two newly developed test methods, one for evaluating the effectiveness of grouts in protecting steel in ducts, the other for detecting voids in the grouts. Cathodic protection has been proven feasible for use in prestressed concrete members. Reinforced concrete in general will benefit from the results of a 7-year FHWA staff study which showed calcium nitrite to be an effective corrosion inhibitor when added to concrete during mixing. The FHWA's early formulation of a durable conductive polymer concrete has led to the development of various cathodic protection systems by industry and in the SHRP.

Several studies on the use of structural adhesives to bond steel to steel have shown their ability to increase the fatigue life of bolted splices, their long term response to temperature and humidity, and the need for improvement of their performance in adverse environments. These results, combined with those from current research, should provide designers with criteria for the use of adhesive bonds in steel bridges. Finally, initial research on fiber-reinforced polymer composites has produced performance data indicating their potential suitability for use in concrete bridge decks and structures.

PLANNED ACCOMPLISHMENTS FOR FY 1993

In FY 1993 work in the HPA on Performance-Related Specifications (PRS) will include development of initial sets of PRS for asphalt and portland cement concretes, initiation of an accelerated field test of PRS for asphalt concrete construction; and completion of field studies relating construction quality indicators for portland cement concrete to pavement performance. Geotechnology research will evaluate the conservativeness and resulting high cost of current requirements for drilled shaft bridge foundations. Work on Steel Bridge Coatings will include initiation of a study to provide a realistic combination of tests for predicting the field performance of coating systems; the array will include accelerated tests which will characterize coating performance under several different environmental conditions.

New measures for protecting new and restoring existing steel and concrete bridge components will be initiated; these will provide major reductions in rehabilitation costs for bridges while extending their service lives. The recently developed impact-echo technique for detecting voids in the grout in the ducts of post-tensioned structures will be improved. Investigations into the performance of modular fiber-reinforced polymer (FRP) panels and of pre-formed, grid-type FRP reinforcing in concrete are expected to produce further evidence of the advantages, e.g., cost, corrosion resistance, low weight, and suitability of FRP for these applications. In still another FRP application, a pilot study will be completed which will identify systems and materials which may be used in anchorages for FRP prestressing tendons.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In the HPA on Performance-Related Specifications (PRS), the 2-year accelerated field test of PRS for asphalt concrete will continue. In Geotechnology, two comprehensive computerized data bases which will be useful to geotechnical engineers in design of bridge foundation systems and ground improvement projects will be completed. The data bases will give the engineers access to information such as soil properties, site conditions, and pile parameters that can be used to improve design procedures. A Steel Bridge Coatings study will be initiated to look at ways of improving steel structure design procedures to reduce corrosion, improve coating performance, and make maintenance easier. Including adequate drainage from the road surface and from steel details will significantly reduce corrosion problems, while the labeling of permanent rigging or scaffolding points can make later maintenance efforts significantly easier. Another FY 1994 study will be initiated in the coatings area to identify new highway delineation paints which will meet proposed Environmental Protection Agency standards for volatile organic compound emissions; current paints will not meet these standards.

Corrosion problems in concrete structures will continue to be addressed with the development of field methods to apply cathodic protection to prestressed concrete bridge members. Also, the optimum conditions for application of sacrificial cathodic protection systems to both prestressed and reinforced concrete bridge members will be identified. Research on structural adhesives will continue with the development of an accelerated test method for establishing their long-term behavior as well as the long-term behavior of structures in which they are used. Composite materials development will continue with the development of an analytical method for structural designers to use to more accurately model the performance of modular FRP bridge decks. The result of the study will be a rapid, accurate method for designing complex structural shapes (such as the X-truss bridge deck). Because it is lighter than steel, the use of FRP material as structural members will reduce the dead load and thus result in more economical superstructures. Use of the FRP materials as deck reinforcing also has the benefit of being corrosion resistant.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
3. Pavements	7,278	6,759	-519

The goals of this research are to provide for the preservation and enhancement of our Nation's highway system; to increase the productivity of the United States' transportation industry through the implementation of new techniques, procedures, and specifications to improve the quality of construction and extend the service life of pavements; improvement of management techniques to monitor the condition of pavements and to provide strategic guidance on when and how to maintain or rehabilitate; and development of the necessary technology to identify the impacts of and provide the pavements necessary to accommodate heavy vehicles.

This category is divided into three Program Areas: Construction, Repair, and Rehabilitation of the Highway Infrastructure; System Management to Increase Service Life; and Commercial Vehicles/ Pavement Interaction. These Program Areas include improved construction procedures, technology; and specifications; contracting techniques; testing methods; pavement condition and evaluation procedures and technology; pavement loading, response, and performance models; accelerated testing of pavement performance; and evaluation of heavy vehicle loading and pavement performance. This program is closely integrated with the research on advanced materials.

For the past 5 years the primary pavement research and development activity has been the Strategic Highway Research Program (SHRP). A large data base on the performance of existing and specially constructed pavements is being developed under the SHRP Long Term Pavement Performance (LTPP) program. This data base includes pavement conditions in roughness, rutting, cracking, skid resistance, and deflections under load. These data are being collected across the U.S., providing performance data under different exposures of traffic and climatic conditions. Analysis of this large data base is planned to establish the factors leading to premature pavement distress, and these factors will be an important contribution to improved highway design in the future.

Results from the SHRP will become available in 1993. Additional research and development will be necessary for some products before they can be transferred to the potential users. The FHWA plans to provide technical, as well as financial support for this essential development effort.

a. Construction, Repair, and Rehabilitation of the Highway Infrastructure

BACKGROUND

One of the most significant determining factors in the performance of the highway pavement is the quality of construction and the care and preservation received throughout its service life. The importance of determining the quality of construction and developing technology to assure design assumptions are in-place in the constructed pavement cannot be underrated. With the establishment of the National Highway System and the eligibility of maintenance for federal-aid, the ability to optimize the timing of maintenance and rehabilitation activities will significantly extend the life of our highways. A significant challenge faces the United States in preserving the existing investment in our infrastructure and improving the strength and life of our pavements to meet the increasing demands for more efficient movement of goods and services.

OBJECTIVES AND APPROACH

The objectives are to improve the quality and productivity of pavement construction, rehabilitation, and maintenance. Included are the development of equipment and techniques to determine optimum time and method of maintenance and rehabilitation, and reduce disruption of service to motorists. Innovations such as contractor warranties and guarantees to increase quality and improve performance will be addressed. Technology to assure that the design assumptions are constructed will be developed. Technology to monitor the construction process and make needed revisions will be investigated. Results from the SHRP program on the effectiveness of preventive maintenance will be evaluated and additional development undertaken to promote this important concept.

Included in this program is research and development on Crumb Rubber Modifier (CRM) asphalt pavements as directed in Section 1038 of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). This research is to be conducted in two phases, the first to address the current level of knowledge and ability of existing data to define the performance of pavements constructed using CRM, the recyclability of CRM asphalt pavements, and environmental and health effects of using CRM. A second phase will be undertaken to fill in the knowledge gaps, determine long-term pavement performance, and define environmental and health risks, as well as to develop procedures and technology to effectively utilize waste tires in highways.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

A contractor is providing the support staff to the pavements and materials laboratories, and to the Pavement Testing Facility. Asphalt mixture design equipment has been procured from Europe for the preparation of special pavement test specimens and evaluation of pavements for resistance to rutting under heavy loads. Testing equipment for asphalt mixture design and analysis developed under the SHRP has been procured. Testing has been initiated to validate the procedures and develop documentation and operational guidance for their use by the States and the industry. Laboratory monitoring and technical support were provided to the States for construction and evaluation of European Stone Mastic Asphalt pavements. Technical improvements to the Accelerated Loading Facility (ALF) were made to improve performance. The test pavements at the FHWA Turner Fairbank Highway Research Center's Pavement Testing Facility (PTF) have been reconstructed using the performance based specifications for asphalt binders developed by the SHRP. This reconstruction also included revisions to allow for a greater number of test pavements to be constructed at one time, thereby improving productivity.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Research on the effects on pavement performance of aggregates from recycled portland cement concrete pavements will be initiated. Research on the coefficient of thermal expansion of portland cement concretes will be completed. Existing equipment to evaluate the effects of temperature and the mechanics of temperature will be refurbished at TFHRC. Renovations of the pavements and materials laboratories at TFHRC will begin. Preliminary design of a second generation ALF will be initiated to provide the capability to simulate greater ranges of vehicular configuration and loading, and will expand the testing capability. Renovation of FHWA's current ALF will be undertaken after continuous service for 5 years. Research to validate the performance based specifications for asphalt binders will be conducted at the FHWA's PTF.

Testing in our Bituminous Mixtures Laboratories using European and SHRP asphalt mixture design and analysis technology will be continued. The purpose of this evaluation is to provide the validation of this technology and framework for incorporation into U.S. practice. The support services contract to our labs will be expanded. Research on the performance, recyclability, environmental, and health effects of CRM pavements will be completed and a Report to Congress prepared. Additional CRM research will be initiated to fill in the knowledge gaps and to document long-term pavement performance and life cycle costs of new and recycled CRM pavements. Additional environmental and health risk testing will be initiated to assist the Secretary of Transportation and the Administrator of the Environmental Protection Agency in determining to mandate a percentage of CRM in Federal-aid construction as described in Section 1037 of ISTEA.

Identification of materials for repair of pavement cracks, joints, and potholes will be available from SHRP by FY 1993.

Recommendations for automated repair of cracks and potholes will be prepared.

PLANNED ACCOMPLISHMENTS FOR FY 1994

A new high priority area on Construction Quality Technology will be initiated in FY 1994. This program will focus on identifying and developing procedures and technology which monitor the construction process and permit adjustments and corrections to maintain quality. We will focus on developing performance based specifications for asphalt and portland cement concrete pavements. However, this research will also address important components of the pavement such as base and subbase and drainage.

Development of the second generation accelerated testing device will be initiated. Testing of the SHRP asphalt binder performance based specifications will be completed at the PTF and may be followed by tests on pavements using CRM and recycled CRM.

b. System Management to Increase Service-Life

BACKGROUND

By 1994 all the States will have Pavement Management Systems in place. These management systems offer a powerful tool to more effectively preserve and enhance the serviceability of our Nation's pavements. Research has been conducted on methods to measure and evaluate the condition of existing pavements and to speed up and automate data collection and evaluation; predict future performance with and without remedial action; prioritize and schedule activities on a pavement network; and organize a network through a Geographic Information System (GIS) or other means.

OBJECTIVES AND APPROACH

The objective of this program is to develop strategic management tools and procedures to optimize the service life of the pavement and to maintain a continued high level of productivity for surface transport. Under the proposed new Systems Management Area, performance prediction and cost models will be refined; new and improved high speed nondestructive test, evaluation, and condition measuring methods developed in coordination with the States and other countries; and the efficiency of databases used for the storage, retrieval, and interpretation of data will be enhanced. These investigations will determine the influence trucks and their components have on the performance and service life of pavements. Pavement management will be integrated with bridge management, safety management, congestion management, and maintenance management in order to provide a management system which incorporates the entire highway system. A significant focus will be undertaken to develop optimum strategies for rehabilitation and maintenance of pavements at the network, as well as the project, level.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Work was completed on "Development of Pavement Damage Models to Address the Effects of Load and Environment," and on a model for deteriorated and rehabilitated pavements. In FY 1992, work began on a model for estimation of maintenance and rehabilitation costs. One of the most difficult factors in the development of models is the ability to accurately reflect costs. An important product of this research will be the development of a framework for establishing maintenance and rehabilitation costs. The basic tools needed to conduct an analysis of pavement performance for both flexible and rigid pavements will be developed and coupled with dynamic impacts of heavy vehicles.

PLANNED ACCOMPLISHMENTS FOR FY 1993

FY 1993 activities will include studies on environmental damage, materials effects, and a pavement cost model. We will begin to develop pavement condition evaluation technology to determine structural capacity and remaining service life of pavements. This technology will be directed towards high speed nondestructive assessment of pavement structural capacity and condition. Research utilizing the capabilities of the Minnesota test road (Minnroad) will be initiated to determine the effects of the environment on long term pavement performance.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Work to develop a framework for uniform evaluation and reporting of pavement condition will be initiated. At present there is limited national transferability on data used for pavement management. However, with the evolution of objective, high speed, nondestructive technology, the timing is good for developing a uniform system.

c. Commercial Vehicles/Pavement Interaction

BACKGROUND

This Program Area includes the Truck/Pavement Interaction High Priority Area (HPA). A prototype Dynamic Truck Actuator (DYNTRAC) has been constructed to study in a laboratory environment the effects of different tires, inflation pressures, suspensions, and vehicle configurations on pavements. The construction and instrumentation of a test pavement at TFHRC in conjunction with the DYNTRAC has enabled the investigation of the influence of environmental conditions at the surface and within the pavement section on the response and performance of a flexible pavement under truck loading.

Work will continue using the three facilities at TFHRC: the Pavement Testing Facility, the DYNTRAC, and the test road. The tests conducted at these facilities will provide information for re-evaluating our pavement design concepts and procedures, and determine revisions.

OBJECTIVES AND APPROACH

The objective of this research focuses on the interaction between trucks and highway pavements. It addresses the effects of increased loading, changes in vehicle configuration, suspension, tires, axles, etc., on the dynamic effects of heavy vehicles on pavement response and performance. Close cooperation with the heavy vehicle industry will promote better understanding and will provide for improved coordination.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Completed activities include the development of a Load Equivalency workshop and truck pavement interaction models, the construction of a prototype truck actuation system (DYNTRAC) with four actuators, the installation of an instrumented test road, and the development of a pavement cost model for truck policy analysis. Preliminary measurements of pavement response to dynamic loadings from heavy vehicles were conducted at the TFHRC test road.

Significant relationships were established on the effects of increased tire pressures and the use of "super single" (wide) tires using TFHRC's PTF. The results of this research have received significant interest among the States and the trucking industry. Findings show from two to four times the wear to pavements from the "super single" tire than from conventional dual tire technology. Preliminary design work was performed to develop wheel force transducers to measure the over the road forces transmitted from the heavy vehicle. Research to measure shear forces exerted on pavements by heavy vehicles was initiated and field measurements conducted.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Work to complete the shakedown of the prototype DYNTRAC will be completed and laboratory testing of various vehicles will be initiated. Prototype wheel force transducers will be fabricated, tested, and validated. The results of the laboratory research using DYNTRAC will be validated using field data from instrumented vehicles, pavement profiles, wheel force transducers, and instrumented pavements. Work will begin on Truck Pavement Interaction Models. The use of weigh-in-motion data combined with laboratory and controlled field tests, including pavement instrumentation, will be used to modify models on the effects of new heavy truck designs and trailer components on highway pavements.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Testing will continue using the present configuration of the DYNTRAC until such time when it can be upgraded to allow 18 wheelers to be tested. Modifications to existing pavement testing facilities, primarily equipment alterations and additions, are necessary to quantify environmental effects that will be incorporated into the models. These results will provide pavement design and policy guidance for future evaluation of the impacts of the U.S. truck fleet on our Nation's highways.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
4. Structures	6,203	3,860	-2,343

The goal of the Structures research program is to conduct research and develop, test, and evaluate technology which will preserve and enhance the highway system through: The implementation of new design and construction techniques, procedures and specifications; the improvement of management techniques; and the provision for the necessary technology to accommodate heavier vehicles.

Structures research is divided into 3 Program Areas:

Construction, Repair, and Rehabilitation of the Highway Infrastructure; System Management to Increase Service Life; and Commercial Vehicles. These Program Areas describe improved construction procedures, specifications, contracting techniques, and testing methods. Research has already been initiated in five High Priority Areas (HPA): Corrosion Control of Structural Elements, Structural Composites and Adhesives, Seismic Protection, Non-Destructive Evaluation, and Scour (Critical Substructural Elements).

A major structures program review was performed by the FHWA and its partners which resulted in the identification of critical research to advance technology in the 3 Program Areas. We are now beginning to see results from research ideas provided by our partners: One additional High Priority Area, "Bridge Design and Durability" has been identified to complement the existing HPA's which are underway or nearing completion.

a. Construction, Repair and Rehabilitation of the Highway Infrastructure

BACKGROUND

Most research from the Critical Substructural Bridge Elements HPA falls within the scope of this Program Area. The HPA is developing and evaluating countermeasures against bridge scour, stream bed migration and embankment erosion using rock riprap and other protective materials and methods. These studies will conservatively result in substantial reduction of the estimated annual cost of $70 million for emergency relief fund expenditures by providing pre-flood repair strategies. To insure safety for both workers and highway users during construction, a program to develop specifications for bridge falsework is concluding with major assistance from the private sector. A piece of equipment developed for detecting internal flaws in bridge suspension and hanger cables, or in PS/C members is virtually field-operational. This work closes a major gap in bridge inspection capabilities. The National Earthquake Hazards Reduction Program (NEHRP) focuses the Nations's attention on the role that the transportation network plays in the flow of commerce and movement of people. Major disruptions to the system caused severe economic impact on the affected areas and the California earthquake demonstrated the need to advance seismic retrofit technology. FHWA is participating with USDOT in a study to determine the vulnerability of highway structures to earthquakes, and to provide guidance on how to improve their ability to withstand major seismic events. A highly focused, short-duration HPA has been initiated to advance the understanding of earthquake-resistant design, construction, and retrofit technology for highway bridges through the development of concise, nationally-applicable guides of recommended practice. Research in both these areas support the U.S. and International Decade for Natural Disaster Reduction. Two timber bridge research programs have been initiated: One at West Virginia University and another longer-term for ISTEA. In the latter, 15 research or technology transfer studies have been started. This program will continue for 6 more years.

OBJECTIVES AND APPROACH

The objective of this area is to respond to Section 6005 of the ISTEA by "...accelerating testing, evaluation, and implementation of technologies which are designed to improve the durability, efficiency, environmental impact, productivity, and safety of highway, transit, and intermodal transportation systems." with particular emphasis on the repair, rehabilitation, and restoration of existing structures and the construction of new structures for the highway system.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

An ambitious program in Timber Bridge Research has been initiated on several fronts, with emphasis on the currently underutilized hardwood species. Earthquake design criteria developed by FHWA have been officially adopted by AASHTO as part of the standard specifications for bridge design. A portable acoustic emission bridge monitor has successfully detected hidden weld flaws that were caused by field repairs. Weld repair techniques have been developed for flawed electroslag welds. A synthesis of current practice relating to forming, falsework and scaffolding has been published and has proved a valuable aid to construction engineers. The development of a guide specification for Vessel Collision Design of Bridges over Navigable Waterways has been finished with the development of a training course to facilitate use of this specification.

An enhanced version of HYDRAIN, the integrated system of highway drainage programs, was released. This 1991 version includes a new program for stable channel design and has greatly improved information management and user interface features. Procedures for estimating flood discharge rates at any location in the country have been developed and a test version of a program incorporating those procedures is being reviewed by selected State highway agencies. Procedures for linking backwater computations in the WSPRO program with pier and abutment scour prediction procedures in the FHWA Hydraulic Engineering Circular (HEC-18) on scour at bridges has been developed. Studies in the TFHRC Hydraulics Laboratory have developed criteria for sizing rock riprap for protection of piers and abutments located on the flood plain away from the stream channel.

A contractor is investigating the behavior of jointless bridges under "Bridge Joints and Jointless Bridges." This will also investigate the retrofitting of existing jointed bridges to eliminate the troublesome deck joints on existing bridges. This study will apply rational analysis to what is currently an empirical design method.

PLANNED ACCOMPLISHMENTS FOR FY 1993

National earthquake retrofit guidance will be developed, including an evaluation procedure for identifying appropriate bridge seismic retrofit technology. The Scaffolding research program will be finished, providing for the first time a rational guide for design and construction of shoring, scaffolding and formwork in the form of Guide Standard Specifications, Guide Design Specifications and a Construction Handbook on Bridge Temporary Works. The timber bridge research at West Virginia will be completed and will have produced safer timber bridge rails, design procedures for stressed-laminated timber bridges, and booklets covering design and corrosion protection for timber bridges.

An enhanced version of the two-dimensional river flow model FESWMS-2DH will provide a powerful tool for computing flow distribution and local velocities at bridge openings for estimating scour. Criteria will be established for sizing scour protection for abutments located on the flood plain near the channel bank. A data base of field scour measurements will be compiled from studies being sponsored by FHWA and about 21 State highway agencies involved in scour measurements. A strategy for dealing with the risk of unknown types and depths of foundations, and consequent scour vulnerability, will be developed. The prototype for a portable robotic device that will measure scour and stream cross-section at the bridge from the deck will be operational. Procedures for post-flood, forensic evaluation of refilled scour holes will utilize ground penetrating radar and continuous recording seismic devices.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Methods will have been developed to evaluate the transportation network fragility and the capacity of components to carry earthquake loads. Criteria for acceptable performance of (seismically) retrofitted structures will also be available. The ductility demands and design requirements for bridge piers and columns in the less seismically active parts of the US will be developed, enabling bridges in those areas to be more economically designed. (At present, most of this work is oriented towards the west coast conditions). The first guidelines for design and construction of jointless bridges will be produced.

TFHRC hydraulics laboratory studies will determine the effect of different pile-cap levels on local scour at pile-supported piers. Design criteria for alternatives (bagged grout, grout-filled mattresses, precast blocks and poly- pods, cable-tied blocks) to riprap for scour protection will be developed. Portable scour inspection and measurement equipment will be developed for use by field crews during floods. Rational procedures will be developed to account for the effects of bed material gradation and cohesion in bridge scour predictions. HYDRAIN will be updated to include multiple culvert designs, minor hydraulic energy losses in storm drain design, and improved hydrograph procedures.

b. System Management to Increase Service Life

BACKGROUND

Performance and service life of structures will be studied, followed by the development of Bridge Management systems which will be integrated with pavement management to provide a management system incorporating the entire highway system. An effort will be initiated to bring together technology to provide input into a bridge management system to evaluate strategies to provide extended service life for critical structures. An initial effort will develop basic nondestructive evaluation (NDE) equipment which can be used for bridge inspection as well as used to evaluate deterioration processes and remaining service life, perhaps the most important parameter required for development of a bridge management tool. Results from a newly initiated HPA on NDE are expected to improve the reliability and speed the use of local NDE. NDE will be used for quality control, identification of defects needing repair, and detection of other hazardous conditions in bridges. This type of information is needed to manage the Nation's bridge inventory.

OBJECTIVES AND APPROACH

Bridge Management technologies are recognized as a necessary tool to properly manage the shrinking resources and expanding needs. Proper management tools, such as a means of accurately identifying the service life of highway structures and their individual components are urgently needed. The objective of this research area is to develop technology required to implement improved management techniques that will allow strategic planning for extending the service life of the highway system and insure cost-effective utilization of highway resources. This effort will develop improved methods for defining structural needs for integration into a broader transportation management system. Improved criteria for maintenance rehabilitation, upgrading and replacement of highway bridges will be developed.

ACCOMPLISHMENTS TO DATE (FY 1992)

Research prototypes of magnetic perturbation and acoustic emission technologies have been developed for bridge application. This inspection technology is already being used by bridge owners to help manage their bridge inventories. A national NDE conference and workshop has been convened to identify and evaluate appropriate technologies which can be developed to indicate the soundness and useful remaining life of bridges and bridge components. This represents the first step in a major technical effort to develop a national, high-tech bridge inspection and monitoring program.

PLANNED ACCOMPLISHMENTS FOR FY 1993

A comprehensive 3 year research program at the Constructed Facilities Center, West Virginia University has been started to improve acoustic emission technology, develop a fatigue loading indicator and improve automated decision support systems for bridge management.

PLANNED ACCOMPLISHMENTS FOR FY 1994

NDE systems data will be used to develop predictive remaining service life factors for selected bridge components and materials. This will include practical inspection tools for timber and prestressed concrete members. The use of NDE as a maintenance tool, will result in fewer and less costly structural failures due to early detection of problems, and reduce delays to the traveling public by permitting better scheduling of repairs.

c. Commercial Vehicles

BACKGROUND

Designs for 21st Century bridges will be able to accommodate heavier loads, to provide more cost-effective transportation of highway freight and to reduce load-induced deterioration. Development of the design concepts and procedures that will produce new bridges able to accommodate these increasing highway loads, last 100 years or more, and alleviate many of the current problems that afflict existing bridges will be pursued. At the same time, it is essential to identify and develop analytical and strengthening technologies to permit existing structures to safely carry the heavier trucks on the highway.

OBJECTIVES AND APPROACH

An adequate level of structural safety for heavier traffic loads on highway bridges is essential. The objectives of this research are to ensure structural and operational safety, minimize structural failure and eliminate sudden collapse, enhance the structural performance to prolong service life, and develop design technology to increase the load capacity of future bridges. Studies will be conducted to accurately evaluate the factor of safety against failure of existing structures; develop details and techniques which will lead to more cost-effective extension of bridge life without compromising safety; develop new and improved welding procedures to eliminate flaws which could lead to failure in bridges; and develop new criteria for bridge design to accommodate heavier loads.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

A multi-year analytical and experimental bridge study in the TFHRC Structures Laboratory was completed to show the feasibility of using a modified, inelastic design method (auto-stress) for steel bridges. The method should reduce steel weight by 10% and fabrication costs as well; if adopted, it could save $60 million annually per estimates of the industry group that co-funded the research. The steel fabrication industry will support a specification rewarding this weight saving. The elimination of fatigue-prone details will be another important benefit.

The National Cooperative Highway Research Program (NCHRP) project for development of a Load and Resistance Factor Design (LRFD) based bridge specification will produce a final draft in FY 1992. This specification will provide a more rational basis for the design of highway bridges without unduly restricting commercial truck weights. Bridge Weigh-in-Motion (WIM) systems developed by earlier FHWA research were used in an FHWA study to measure truck loads and bridge response on 30 bridges. This data was used to calibrate load models in the NCHRP study.

Two very important research studies were launched in FY 1992. One is a major experimental and analytical study of curved steel bridge design. Using pooled-HPR and administrative funds, this study will interface with two NCHRP projects to ultimately produce a state-of-the-art and user-friendly AASHTO guide specification for the design of curved steel bridges. The experimental part of this study will be conducted at TFHRC. The other study seeks a completely new approach to bridge design and construction using high-strength steel and concrete members.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Preliminary test data from a major TFHRC structures laboratory study on variable amplitude loading effects on steel beams will be used to evaluate the adequacy of assumptions made in the AASHTO Bridge Specifications for fatigue design. Another major TFHRC laboratory study is addressing the nature of bond strength in concrete and will produce valuable data for validating the AASHTO Specifications' provisions for predicting development and transfer lengths of large diameter prestressing strand in concrete beams and girders. Both studies will also consider the effects of heavier loads on bridges. The first data resulting from Curved Steel Bridge Design will be given to NCHRP to permit that project to produce an interim design specification.

PLANNED ACCOMPLISHMENTS FOR FY 1994

A new research area on Bridge Design and Durability will be initiated to identify methods and criteria which enables control of cracking and results in more durable concrete structures. Improved control of cracking will increase the life of both reinforced and prestressed concrete bridges, since cracks accelerate the deterioration and ultimately produce failure of both the components and the structure. Verification of inelastic bridge behavior and of the proposed LRFD specifications will be undertaken, as will the automation of the criteria to provide for more effective design of bridges. The understanding of inelastic behavior of steel members permits more reliable structural designing and rating of existing structures. This will result in economy in both the construction of new bridges, as well as, the repair of existing ones. Improved guidelines for fabricating and erecting curved steel beams will be available as an interim report in 1994. This output, too, is expected to result in more economical structures from the more judicious use of curved steel beams where they are warranted.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
5. Environment Research	4,873	4,080	-793

BACKGROUND

In accordance with the Department of Transportation's (DOT's) National Transportation Policy (NTP) and the Federal Highway Administration's (FHWA's) Environmental Policy Statement (EPS), the environment research program will contribute to a more efficient environmental and project development program and to an enhanced environment through the development of (1) improved tools for assessing highway impacts on air quality, wetlands, hazardous waste sites, water quality, etc.; (2) more effective and innovative avoidance, detection, mitigation, and enhancement techniques; and (3) environmental expertise within FHWA and State transportation agencies. The NTP and EPS also call for expanded efforts to assure the effective implementation of the Clean Air Act Amendments (CAAA) of 1990.

Research efforts in FY 1994 reflect our long-range research program, incorporate the results of the 1991 National Transportation Research Needs Conference, and will target the following critical areas: Air Quality, Wetlands, Hazardous Waste, and Other Environmental Research Projects.

The candidates in the four broad research areas in the FY 1994 Program are detailed below:

(1) Air Quality FY 94 Proposed Budget: $1,500,000

The CAAA has placed increased emphasis on demonstrating that Federally supported highway and transit plans, programs, projects, and other decisions will not create or exacerbate air quality problems in areas which are nonattainment for transportation-related air pollutants. The environmental research program will improve the techniques available for cost-effective analysis of transportation system operation and transportation project proposals to assure attainment and maintenance of the National Ambient Air Quality Standards. Ongoing research includes assessing highway particulate impact, improving the integration of transportation and air quality planning, evaluating models and procedures for predicting carbon monoxide concentration at signalized intersections, and assessing transportation emission trends and violations of the National Ambient Air Quality Standards. Proposed research will focus on quantifying the air pollution reduction potential of transportation control measures. While the need for this research and evaluation component is described here for information, program funding will be derived from ISTEA, Section 6005.

(2) Wetlands FY 94 Proposed Budget: $1,250,000

Wetlands can provide valuable habitat areas for many diverse species, improve the quality of water, protect shorelines from erosion, contribute to groundwater recharge, and help maintain baseflow through groundwater discharge. Executive Order 11990 and Section 404 of the Clean Water Act call for protection of wetlands on Federal projects. In 1987/88, concern over continuing wetland losses caused the President to call for a national goal of "no-net-loss" of wetlands and new wetland policies to be developed by the Domestic Policy Council (DPC). Ongoing research includes refining and regionalizing application of wetland evaluation techniques (WET 2.0), evaluating methods of wetland creation (including the overall effectiveness of these efforts) jointly with the Corps of Engineers, and evaluating methods of wetland creation (including the cost of these efforts) jointly with the Environmental Protection Agency. Proposed research will focus on determining better mechanisms to identify hydric soil and to reduce delays in wetland identification and evaluation.

(3) Hazardous Waste FY 94 Proposed Budget: $400,000

Ongoing research consists of determining methods and equipment to identify, investigate, control, treat, and dispose of ROW hazardous substances, materials, and wastes. Proposed research will describe the uses of hazardous materials and generation of hazardous wastes by SHAs during project development and completion of project, and determine the cost effective methods for their handling, control, treatment, and disposal.

(4) Other Environmental Research FY 94 Proposed Budget: $965,000

Ongoing research includes evaluating innovative environmental protection, mitigation, and enhancement strategies; reducing abatement costs by improving highway traffic noise prediction procedures; reevaluating the constituents of highway runoff; developing expert system for environmental process; and evaluating the effects of highway runoff on groundwater and potable water. Proposed research will focus on evaluating the effects of vegetation and atmospheric variables on noise reduction; evaluating techniques and methodologies to rehabilitate historic bridges on low volume facilities; incorporating Geographic Information System technology in assessing environmental impacts; incorporating Global Positioning Systems with field data collection for environmental assessment; evaluating community impact estimation techniques; determining secondary impacts and cumulative impacts resulting from surface transportation projects; developing new technologies and tools for environmental planning and process management; and developing an environmental research tracking guide.

Research efforts will be coordinated with scientific and environmental experts from related resource agencies, academia, and private industry as well as from AASHTO and pertinent TRB committees to make proposed work more responsive to environmental needs. Efforts will be made so environmental concerns can be addressed efficiently as an integral part of highway planning, design, operation, and maintenance.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
6. Right-of-Way Research	487	320	-167

BACKGROUND

The right-of-way research program was formalized in 1989 with the establishment of a new Research Advisory Counsel representing the Offices of Right-of-Way, Environment and Planning, and Policy. The right-of-way research program is designed to advance and reflect the National Transportation Policy and reauthorization legislation by contributing to a more efficient administration of right-of-way activities through the study and development of right-of-way technical innovation and its application at both management and operational levels.

OBJECTIVES AND APPROACH

To enhance State and local government highway agency capabilities in right-of-way program management, technical development and information sharing.

The research effort includes studies that identify and advance right-of-way management methodology; right-of-way technical innovation; and land use control applications.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Our initial research contract on Corridor Preservation is in the final report stage. This contract is scheduled for completion in 1992. Study reports will be distributed to appropriate State and Federal offices in FY 92.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Planned right-of-way research accomplishments in FY 1993 include continuation of corridor preservation research and research into the technical aspects of assessing the real estate markets reaction to contaminated sites; developing guidelines for enhancement of rest area management and utilization; and technical guidance on appraising outdoor advertising signs and sites.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Planned right-of-way research in FY 1994 includes completion and dissemination of research studies in Corridor Preservation; new research starts in the areas of right-of-way management programs, land use control applications, feasibility of and methodology to establish right-of-way land banks to preserve vital transportation corridors and technology transfer of research completed in 1992 and 1993.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
7. Policy Research	7,797	7,369	-428

BACKGROUND

The Policy research program provides data, analytical tools, and research to enhance the Federal Highway Administration's ability to evaluate a broad range of program and policy options. In 1994 policy research will address many of the short and long term Federal highway policy issues raised in the Intermodal Surface Transportation Efficiency Act (ISTEA) and will provide analytical tools and data needed to analyze highway program alternatives for the 21st century. Such critical highway policy issues as alternative highway financing strategies, implications of emerging public/private partnerships for highway construction and operation, implications of alternative fuels and other energy and environmental initiatives, the contribution of the highway program to economic productivity and international competitiveness, and the impacts of highway network alternatives will also be addressed. Research to update relationships between highway and traffic characteristics and user costs is needed as well as the development of procedures to analyze alternative multimodal investment strategies using appropriate evaluation criteria for each mode. Research on highway investment requirements, highway system condition and performance, highway cost allocation, and truck size and weight policy will continue.

OBJECTIVES AND APPROACH

The objectives of the policy research program are to develop a coordinated program of research to evaluate the appropriate level of future Federal involvement in the highway program, to maximize the return on funds invested in the Federal-aid highway program, and to provide the information needed to evaluate policy alternatives. Policy research is essential for the development of Federal highway policies that are more responsive to Federal interests in promoting interstate commerce and improving the competitiveness of domestic products in international markets. The ISTEA creates many opportunities for State and local highway agencies to apply Federal-aid highway funds and funds from the private sector to meet their most pressing highway improvement needs. Research is needed to evaluate impacts of the increased flexibility and new opportunities for private sector involvement in highway projects. Work will also focus on data needs to support the various management systems called for in the ISTEA. Research will update essential data and analytical tools required to evaluate such controversial issues as truck size and weight policy and the equitable allocation of highway program costs. The Highway Performance Monitoring System data base and analytical models will be expanded and improved through the policy research program including needed improvements in relationships between highway user costs and the condition and performance of the highway systems. A new analytical capability will be developed to allow multimodal investment strategies to be evaluated. Other research will include the acquisition of more detailed truck data for improved program management, better information of truck weights and dimensions, and more detailed information on truck movements and preferred routings.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Recent accomplishments of the policy research program include development of a modeling system to provide an improved economic foundation for estimating highway investment requirements; analyses of impacts of truck size and weight and user fee policy options; development of improved methods for analyzing economic impacts of highway investment; refinement of methods used to estimate future highway user revenues accruing to the Highway Trust Fund; development and enhancement of systems to facilitate the retrieval and analysis of highway-related data; support for development of the census transportation planning package and the Nationwide Personal Transportation Study (NPTS); development of improved models to analyze highway cost allocation issues; improved abilities to analyze highway policy issues for the post-Interstate Federal-aid highway program; and refined analysis of intermodal trucking issues. In the information management areas research has helped to ensure the availability of efficient procedures for electronic dissemination of highway characteristics data, the ready accessibility of reliable highway information data bases, and that computerized procedures exist for effective analyses of these data bases.

PLANNED ACCOMPLISHMENTS FOR FY 1993

The ISTEA includes many provisions that require both continuation of existing research programs and initiation of new research. Further, research needed to support policy development for the next legislative cycle must begin now if it is to provide substantive input. Specific policy research that is needed to support provisions of the ISTEA include: (1) analysis of various public/private financing options that are emphasized in the ISTEA; (2) analysis of the connectivity and circuity associated with NHS network alternatives; (3) analysis of cost allocation implications of the new program structure; and (4) policy analysis of congestion pricing issues and approaches.

Policy research in FY 1993 will focus on the following specific areas: (1) improving tools for highway cost allocation and truck size and weight policy analysis, (2) interrelationships between highway investment and economic productivity, (3) improving policy analyses of emerging energy, environmental, and highway revenue issues, (4) highway investment and user cost relationships, (5) national highway network development and evaluation, (6) improving the management and dissemination of national and international data on fuels, highway investment, driver registration, and highway condition, performance, and usage; (7) Highway Performance Monitoring System data base operations; (8) improving personal and commercial travel monitoring; (9) improving the tracking of gasoline usage; (10) improved system level measurement of congestion and travel time; (11) assessing and improving the quality of traffic data collection devices; (12) analyzing data on household-based travel; and (13) developing procedures to better coordinate traffic data collection related to traffic operations and planning.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In FY 1994 policy research will include continuing work on private sector participation in highway financing; analysis of environmental and energy policies and trends as they affect the highway program and revenues; continuing work on relationships between highway system productivity and international competitiveness; improving estimates of the highway capital stock; extrapolation of the effects of congestion on highway system productivity; improving relationships between vehicle operating costs and highway conditions and performance; initial work on the development of a multimodal investment performance system; estimation of employment impacts from expenditures on highway construction by improvement type and regions; refinement of truck size and weight policy models to incorporate data from the Nationwide Truck Activity Survey; continuing analysis of household travel characteristics and initiate the 1995 National Personal Transportation Survey; improvements in travel monitoring procedures; support for the use of HPMS procedures in a microcomputer environment; assessing traffic data equipment component reliability; assessing the potential for real-time traffic data; support for the development of effective procedures to estimate the precision of traffic data; integration of FHWA highway statistics with the AASHTO Value Added Network; conducting surveys to assess travel impacts of implementation of clean air and congestion mitigation actions; assessing the use of Interstate Fuel Tax Agreement data for interstate carrier fuel use data, and improvements in monitoring congestion in urban areas.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
8. Planning Research	2,437	3,189	+752

BACKGROUND

Very significant demands have been placed on the Planning Research budget by the passage of the Intermodal Surface Transportation Act of 1991 (ISTEA) and the Clean Air Act Amendments of 1990. The ISTEA mandates Statewide Planning and requires this planning to address new requirements such as energy conservation, intermodal access and metropolitan area connectivity. Previously states were not required to meet these requirements. Also, congestion management systems must be developed by the states to help integrate data on condition and performance with capital and operational expenditure.

The planning process itself must address, both at the statewide and metropolitan levels, the complex processes of land use and transportation interaction, travel and environmental impacts of transportation decisions; impacts of transportation management and control strategies; the analysis of multi-modal and intermodal alternatives, etc.

The full authorization level of $5 million is needed to fully and adequately address these issues, and to provide support to States and MPOs with the capability of addressing these issues.

OBJECTIVES AND APPROACH

States and MPOs look to FHWA to develop reliable and valid technical tools, including models and GIS aids, which can be used nationwide. The states will then use planning funds to collect local data, analyze local circumstances, and arrive at locally acceptable solutions using FHWA developed planning tools. This complementary partnership ensures a credible, cost-effective planning process and improved transportation decision making to meet tomorrow's needs and challenges.

In support of these objectives, the goal of the Planning Research Program is to develop and disseminate improved planning methods to assist State and local transportation agencies.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Transportation analysis procedures were developed to better support State and local transportation planning, highway investment analysis, and project development activities. These included:

- An analysis of the effects of urban design on demand management.

- Initiation of a major study on the effect of new capacity on travel and urban development. The study will focus on improved methods to evaluate the air quality impacts of capacity added by new construction to help respond to criticism by environmental groups and resource agencies. The study will run four to five years. The following projects were initiated under this study:

- A conference to identify the technical issues involved in estimating new capacity impacts and a study design for the overall program.

- Initial funding to examine the capability of current travel forecasting techniques to predict the impact of new capacity.

- Funding, in cooperation with EPA and private sources, to examine the potential of revised land use patterns and urban design to reduce the need for new highways.

- A conference, sponsored by TRB, to discuss data needs resulting from the CAAA and the ISTEA.

- Microcomputer applications of various planning techniques.

- A report on the effects of local financing options on state financing.

- A report on innovative methods of overcoming administrative barriers to highway construction.

- A conference on the effectiveness of demand management.

- The research project titled "Pavement Model Enhancements for the HPMS" completed by the University of Illinois in December of 1991. This project yielded new pavement deterioration equations which will be inserted into HPMS Analytical tools.

PLANNED ACCOMPLISHMENTS FOR FY 1993

1) **Analyzing the Travel Impacts of New Capacity** - This multi-year study will continue, including; a study of changes in land use patterns in a major metropolitan area over the last 40 years to determine the effect of transportation on land use, a study of current survey data to determine the amount of time allocated daily to travel, and a study to enhance the ability of existing travel forecasting procedures to analyze the effects new transportation capacity.

2) **Statewide Transportation Planning** - Technical support to implement the statewide planning requirements of the ISTEA. Guidance, technical assistance and training will

be provided to State Highway agencies. This project will extend into FY 1994.

3) **Congestion Management** - Develop techniques for assessing the effectiveness of congestion management strategies and systems, and for estimating the effect of congestion on peak hour traffic flow. Congestion management systems have been mandated in the ISTEA.

4) **Intermodal Planning** - Begin a study to determine the effectiveness of intermodal transfer facilities, prepare case studies to examine the effectiveness of individual facilities. Develop techniques to support states in the development of statewide intermodal planning.

5) **Applications of Advanced Methodology in Transportation Planning** - Research under this area includes development of congestion measures for the Highway Performance Monitoring System (HPMS); identification and analysis of highway system bottlenecks including basic research into their operational characteristics; expanding HPMS capabilities to include Geographic Information Systems (GIS); development of economic based forecasts for total truck ADT and truck weight; upgrading HPMS analytical tools to respond to air quality, urban growth, network expansion, national traffic forecasts and other policy issues; integrating the HPMS data base with the National Highway Planning Network; development of procedures to provide seasonally adjusted route specific truck volumes for the States' pavement management systems.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The FY 1994 research program will target the following areas:

1) **Analyzing the Travel Impacts of New Capacity** - In FY 1994 this multi-year study will continue. During this year there will be expenditures on data collection, including behavioral data and land use data. This data collection will support the development of improved planning and forecasting tools.

2) **Statewide Transportation Planning** - Identify good planning practices and procedures, support conferences, develop training packages, and develop process and procedural manuals. These efforts will support and promote effective statewide planning as required by the ISTEA. Air quality and intermodal issues will be addressed. Efforts will address policy issues, analytical techniques and administrative procedures necessary to perform planning effectively.

3) **Congestion Management** - The FY 1994 program will focus on developing better data collection techniques, developing

a functional classification for congestion, and merging systems planning forecasting procedures with traffic simulation and air quality models.

4) **Intermodal Planning** - Further develop measures of intermodal effectiveness and intermodal performance measures, measures will include both freight and passenger, evaluate effectiveness of intermodal transportation in international competition.

5) **Applications of Advanced Methodology** - Continue to improve the HPMS analytical process and the development and implementation of GIS tools.

NEED FOR RESEARCH

The following documents the need for the research projects described above:

1) **Analyzing the Travel Impacts of New Capacity** - The CAAA placed the burden of improving air quality on mobile sources (automobiles primarily). It requires that areas which have not attained air quality standards implement measures to reduce automobile travel. In support of this, it is essential to determine what the impact of new transportation infrastructure will be on travel behavior, and to be able to forecast this impact. Further, a lawsuit halted the FHWA program in the San Francisco area for approximately one year. The basis of the lawsuit was that existing travel models were not adequate to forecast the effects of new infrastructure on travel.

   Four types of impacts may occur; more trips being made, changes in trip length, changes in trip mode, and land use changes. This research effort will examine all of these and develop methods to forecast the effects. The research will require multi year data collection on travel behavior and land use, analysis of the data and updating of travel forecast procedures. The updated forecasting procedures will have immediate use by state and local governments in traffic and air quality analytic procedures.

2) **Statewide Transportation Planning** - The ISTEA requires all States to set up statewide planning procedures. Research is essential to determine proper analytical procedures for States to use as well as administrative procedures to insure that the planning can be done in an effective environment.

3) **Congestion Management** - The ISTEA requires all states and urban areas to establish congestion management systems. Research in congestion

management is essential to define methods of measuring congestion, provide analytical techniques to evaluate congestion management measures, and to provide for standardization of congestion management systems.

4) **Intermodal Planning** - The ISTEA requires that each state implement a statewide intermodal planning process. Government agencies are required to give more attention to intermodal coordination. To support this requirement in the ISTEA, an intermodal research program is essential. The program will cover case studies of intermodal cooperation and effectiveness, methods of analyzing and forecasting intermodal efficiency, and institutional arrangement making for effective intermodal coordination. The results of this research will be used by the Federal, state and local governments in intermodal planning procedures.

5) **Applications of Advanced Methodology** - Recent advances in analytical methodologies and computer technology offer tremendous opportunity to improve the way in which transportation planning activities are conducted at both the urban and statewide level. Applications research to take advantage of this advancing technology and to develop implementation strategies is critical to improving the support of the transportation planning process at the Federal, State and local levels. Research will focus on areas such as improved data collection procedures, developing and applying GIS, integrated highway information, and other systems to better satisfy the information needs of highway organizations.

	AUTHORIZATION/OBIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
9. Motor Carrier Research Program	4,183	7,700	+3,517

BACKGROUND

FHWA's Motor Carrier research program was developed in response to the need for an expanded, coordinated and comprehensive commercial vehicle research effort to ensure the safe operation of commercial motor vehicles on the Nation's highways. The program relies heavily on interaction with, and suggestions from, motor carrier industry, associations, the Congress, all parts of the FHWA, OMC headquarters and field offices and other modal administrations within the Department of Transportation to ensure that proposed research is relevant and timely. The projects chosen for the program represent only the highest priorities identified through coordination with these groups.

OBJECTIVES AND APPROACH

The primary mission of the motor carrier program is to increase safety by reducing the number of highway deaths and injuries involving commercial motor vehicles. Research provides the knowledge needed to understand the operation of commercial drivers, vehicles and carriers, identify the causes of accidents, identify and evaluate effective accident countermeasures and assess new technologies. The research program contributes to the mission of death and injury reduction by supporting the development of a comprehensive Motor Carrier Management Information System (MCMIS), practices and technologies for efficient and effective safety enforcement and regulation and dissemination of educational information. The safety research has focused on the driver, with additional projects involving commercial vehicle systems and operations, hazardous materials (haz mat) movements, accident data and analysis, size and weight, enforcement and compliance strategies and regulatory review.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Prior accomplishments include: assembling and piloting effective, new diagnostic equipment for measuring driver fatigue and alertness during actual operations; obtaining the most current information on a number of driver medical conditions, such as cardiac, hearing and neurological disorders; determining the effectiveness of the motor carrier out-of-service vehicle criteria and pinpointing defects for correction; piloting alternative procedures to maximize responses and assure statistically valid responses to a survey of truck driver substance abuse; evaluating the potential for roadside random testing of driver substance abuse; developing and providing reliable and uniform accident data; and coordinating efforts to simplify and make more uniform motor carrier registration and taxation requirements.

In FY 1992, FHWA began research with the American Trucking Associations' Trucking Research Institute to assess the rest area needs of commercial vehicle drivers and determine the feasibility of standardized diagnostic devices for use in inspecting and maintaining vehicles. State pilots began to develop and test prototype medical qualification procedures. A major study of medical regulations began under a national driver waiver program to test the appropriateness of current rules which prohibit drivers with certain medical conditions from operating commercial motor vehicles. Methods for identifying high risk haz mat shippers and developing haz mat incident countermeasures were evaluated.

The entire MCMIS system for collecting, processing, reporting and maintaining motor carrier safety information was and continues to be evaluated against future needs.

In response to Section 4007 of the ISTEA of 1991, coordinated research with the National Highway Traffic Safety Administration (NHTSA) began to examine the operating characteristics of longer combination vehicles (LCVs) including additional safety equipment, and the impact of LCVs on driver fatigue and stress. Research was begun in accordance with Section 4007 to evaluate entry-level driver training needs.

PLANNED ACCOMPLISHMENTS FOR FY 1993

In FY 1993, a $4.2 million budget supports continuing driver and vehicle safety research and information systems development. It also supports critical research involving: analysis of haz mat technical assistance needs, accident analysis and medical training techniques and development of new carrier and driver safety enforcement data systems.

Safety research will provide: accurate, non-intrusive technology to monitor driver alertness and warn drivers; an initial evaluation of the fatigue problem for "on-call" motor coach drivers; and up-to-date commercial driver medical qualifications. In addition, FY 1993 research also continues to assess the importance of entry-level training on commercial driver safety. An effort to improve education and technical assistance to carriers and drivers also begins, in order to more readily and accurately satisfy their requirements and help them comply with standards.

Research to improve program efficiency, enforcement and compliance will result in: a comprehensive, integrated and more efficient MCMIS; the addition of commercial vehicle size and weight information to the SAFETYNET automated inspection program; improved data with which to identify commercial motor carriers and drivers presenting the greatest potential risk to highway safety; and more definitive information about the safety of larger commercial motor vehicles. In addition, FHWA will analyze the results of public hearings and focus group meetings for their identification of performance-based standards that are most effective in improving the Federal Motor Carrier Safety Regulations. This effort will include a reassessment of paperwork requirements of motor carriers and their drivers, and will set the stage for FY 1994 research to construct new Federal regulations.

Motor carrier uniformity and competitiveness research will include: research and activities targeted at carriers that expedite and support the adoption of uniform, standardized base-state procedures which simplify interstate vehicle registration and tax reporting; assisting States in their efforts to adopt a uniform set of truck and bus accident data elements; and piloting, in four States, a newly achieved National Governors' Association (NGA) agreement dealing with the permitting of hazardous material shippers.

Congressional direction in the Department of Transportation's FY 1993 Appropriations Act earmarked $4.5 million in Federal-Aid Highway funds for six research studies on vehicle and driver needs. The Congress directed that the FHWA work with the Trucking Research Institute (TRI) to evaluate: commercial driver sleep disorders; carrier-based fitness-for-duty testing devices; older commercial driver needs; heavy truck brake maintenance needs; truck cab ergonomics; and using Intelligent Vehicle/Highway System (IVHS) technologies to streamline the regulation of commercial trucking activities.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The FHWA Motor Carrier Research Program proposed for FY 1994 totals $7.7 million, an 83 percent increase over the FY 1993 Appropriation. The increase is motivated by a need to sustain a growing program of existing research, as well as implement a number of new projects (some described below) on driver fatigue, medical qualifications and training. Part of the newer research will draw on the preliminary findings of earlier studies in these areas.

In response to Congressional direction in the Department of Transportation's Appropriations Act for 1993, the OMC has prepared a 5-year plan for its research program. The plan describes the program's scope, objectives and direction of research through the end of the decade and resulted in a recategorization of the motor carrier research program into seven major emphasis areas.

I. COMMERCIAL DRIVER PROFICIENCY: $2,395,000

Reducing accidents involving commercial motor vehicles is FHWA's most important motor carrier research area. Commercial vehicle driver error has been cited as the major contributing factor for commercial vehicle accidents. In FY 1994, the FHWA will continue a number of projects on driver fatigue, medical qualifications and training.

Driver Fatigue

During the previous 2 years, FHWA collected and analyzed baseline data on driver alertness and performance in representative motor carrier operations. Comprehensive research on driver fatigue will continue. Initial information will be obtained concerning the appropriate rest and recovery needs for commercial vehicle operators. In cooperation with the TRI, the impact of cargo loading and unloading on commercial driver alertness will be analyzed.

The expected results of driver fatigue research are:

- Assessment of the commercial driver's ability to remain alert in a variety of driving situations.

- Scientific data about the impact of various vehicle loading and unloading practices on commercial driver alertness.

Medical Qualifications

Another way to improve driver safety is to assure that all commercial motor vehicle operators are medically qualified. FHWA standards must reflect medical advances and ensure drivers are properly and uniformly examined for medical problems. Further, the latest technologies must be used to detect impairment caused by controlled substance and alcohol use.

In FY 1994, medical research will be strengthened by the provision for a medical qualifications review board to reevaluate medical rules against the latest medical knowledge and to handle appeal actions. A basis for implementing State-based medical procedures for certifying commercial drivers will be obtained, and uniform and current training for medical examiners of commercial motor vehicle drivers will be pursued.

The expected results of the medical qualifications/controlled substance and alcohol use research are:

- Up-to-date, uniform procedures and training for physicians and States to medically qualify commercial motor vehicle drivers.

- Informed, timely recommendations from the Medical Review Board to FHWA about medical standards.

- Implementation of State-based medical procedures resulting from the State pilot projects begun in FY 1992.

Driver Training

Driver performance can be improved through better training and technology. Motor carrier research will continue to assess the feasibility of using simulators for commercial driver training and licensing. In addition, FHWA will coordinate with the NHTSA in assessing the ability of simulators to accurately measure driver impairment and its impact on driving performance. The expected results of the driver training research include:

- Assessment of various simulator technologies for training, licensing and testing commercial driver performance and impairment.
- More effectively trained drivers, using more efficient and effective training techniques.

Motor Coach Drivers

While a considerable body of information on truck drivers is available, little research has been done on intercity motor coach drivers. Recognizing the special training needs for these drivers, both the FHWA and industry have joined forces to improve bus driver training. Research in FY 1994 will consider the curricula required for training, as well as competencies and criteria needed to assure driver proficiency.

The expected results of this focused effort will be

- Standards and appropriate training materials for motor coach drivers.
- Performance criteria which bus companies could use to effectively judge the competency of their drivers.

II. COMMERCIAL VEHICLE SAFETY AND PERFORMANCE: $1,925,000

The FHWA is concerned about the safe operation of all commercial vehicles and the respective vehicle systems. In FY 1994, research will evaluate annual vehicle inspection criteria. In cooperation with NHTSA, the FHWA will continue to participate in the evaluation of commercial vehicle tire properties for improved traction and stability. Building on the NHTSA research, the FHWA will initiate an evaluation of current safety standards for tire tread depth and retread tires. An evaluation will begin of anti-lock brake inspection procedures, needed in response to the growing percentage of commercial vehicles with these braking systems. New research will develop procedures for inspectors to check for tractor-trailer brake system compatibility. New research also will develop a model training curriculum for motor coach mechanics and evaluate the feasibility of preventative maintenance programs for buses.

The expected results from this vehicle research are:

- Inspection procedures for assuring compatible truck-trailer braking systems.
- Improved standards on tread depth and retread tires.
- Model training curricula for motor coach mechanics and related preventative maintenance program with recommended good practices.
- Innovative technologies for safely stopping commercial vehicles.

III. MOTOR VEHICLE SAFETY ANALYSIS AND INFORMATION: $1,880,000

The goal of research in this area is to improve the efficiency of Federal motor carrier information systems and so contribute to increased motor carrier compliance and safety. Funding in this area is used to improve the MCMIS, the quality of MCMIS data and its usefulness to FHWA and the States.

Research on FHWA's information systems will see continuing improvements to SAFETYNET and analysis of the configuration of MCMIS systems. This work includes initiatives to link field staff to the Commercial Driver's License Information System through SAFETYNET and inclusion of relevant intrastate data. Methods to improve the quality and completeness of MCMIS carrier data will be implemented and the rapid provision of these data to the public will be achieved. In addition, the FHWA will begin to conduct a comprehensive assessment of how SAFETYNET can interface with the IVHS on-board information systems in commercial vehicles to assemble carrier, driver and vehicle data.

The FHWA has continually improved accident data by working with the NGA on uniform truck accident reporting and improving SAFETYNET. FHWA continues to fund sampling of truck accidents by NHTSA and accident analysis by the University of Michigan's Transportation Research Institute.

The expected results of this research are:

- A more accurate, efficient and responsive MCMIS, utilized to target FHWA and State resources and activities to the highest risk carriers, drivers, vehicles and cargoes.
- A feasibility study of linking SAFETYNET and emerging IVHS data reporting technologies on the vehicle to provide less costly and more timely information exchange.

- More reliable and readily accessible accident data.

IV. REGULATORY COMPLIANCE AND ENFORCEMENT: $400,000

The FHWA will research new ways and technologies to efficiently use its resources to increase compliance and to reduce motor carrier reporting and recordkeeping requirements. In FY 1994, FHWA will continue the research to evaluate the legality and practicality of using weigh-in-motion (WIM) for enforcement, in addition to screening trucks and collecting weight data. Also, FHWA will evaluate technologies (e.g., electronic data transfer for automatic vehicle identification) which carriers could use to satisfy recordkeeping and auditing requirements. Due to increasing interest in alternative fuels and environmental standards, research will evaluate and develop needed handling and inspection procedures for commercial vehicles using alternative fuels. In addition, the FHWA will evaluate how various highway design standards affect the safe operation of LCVs. This will compliment ongoing research on LCV drivers and vehicles.

Due to the ramifications of a potential hazardous materials incident, the transport of hazardous material is a special concern in terms of cargo securement and packaging factors as well as routes, special equipment and driver and shipment monitoring factors. The FHWA's cargo research focuses on hazardous materials transport and primarily supports the requirements of the Hazardous Materials Transportation Uniform Safety Act of 1990.

In FY 1994, the FHWA will continue its hazardous materials education and technical assistance. In addition, FHWA will initiate a study to examine the causes of cargo tank failures in accident and non-accident situations. FHWA will also evaluate alternatives to cargo tank "wet lines" (i.e., the loading/unloading of pipes under gasoline tank trailers which remain filled with fuel).

The expected results of this research are:

- Evaluation to support use of WIM technologies for enforcement.
- More efficient carrier review procedures for assuring compliance.
- Maintenance and inspection standards for alternatively-fueled vehicles.
- Alternatives to reducing the hazards of cargo tank operations.
- Up-to-date information on cargo tank failures and recommendations to prevent those failures.

- Automated safety record keeping, reporting and data transfer technologies.

V. REGULATORY REFORM: $500,000

Effective, understandable, simple and enforceable regulations will improve highway and motor carrier safety. FHWA began a zero base review of its safety regulations in FY 1992, with information collection and analysis to be completed in FY 1993. The next phase of the zero-base process will begin in FY 1994 to define issues and procedures required to establish performance-based regulations in areas recommended by the initial study.

The expected results of the this research are performance-based standards for key motor carrier safety regulations.

VI. MOTOR CARRIER INDUSTRY ECONOMIC HEALTH: $450,000

The National Transportation Policy explicitly addresses motor carrier productivity and the need for more uniformity and more intermodalism. The FHWA has supported research and other efforts to achieve uniformity in registration and taxation of interstate motor carriers for a number of years. FHWA will carry out the related uniformity provisions of the ISTEA.

In FY 1994, research in the uniformity area will support the ISTEA requirements for States to join the International Registration Plan (IRP) and International Fuel Tax Agreements (IFTA) by 1996. The ISTEA provides funding and technical assistance to States to accomplish this requirement. Research and Development funding will differ from the funding provided under the ISTEA by providing for (1) development of methods for training and technical assistance to motor carriers so that they will understand the IRP and IFTA requirements as well as perform proper record keeping and (2) continued pilot testing of the haz mat model agreement currently being developed by the NGA.

The expected results of research in this are:

- Motor carriers joining IFTA and IRP quickly when States become members.

- Motor carriers completing the application and record keeping requirements properly.

VII. ADVANCED TECHNOLOGY: $150,000

The research program in FY 1994 will participate in the development and evaluation of emerging technologies to improve industry productivity. In cooperation with the Office of the Secretary and other DOT Administrations, the FHWA will identify and evaluate the key factors that affect competition and intermodal operations, particularly truck/rail transportation.

The expected results of research in this area are:

- New technologies to improve industry productivity.
- Improved description of the industry and its major segments.
- Identification of key factors that affect competition and intermodal operations, particularly truck/rail transportation.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
B. INTELLIGENT VEHICLE/HIGHWAY SYSTEMS			
GOE	30,000	30,810	+ 810
Rebuild America Initiative	-----	70,000	+70,000
TOTAL	30,000	100,810	+70,810

BACKGROUND

The goal of the national IVHS program is to provide improved safety, mobility, driver convenience, energy efficiency, and environmental quality for the highway transportation system through the development and application of advanced vehicle--highway technologies. Benefits achieved through use of IVHS technologies flow to both travellers and companies which use the transportation system, and include increased safety, congestion reduction, energy conservation, and improved environmental performance.

The FHWA works closely with a wide range of participants in the national IVHS program, including other Federal agencies, State and local governments, the private sector, universities, and associations. The Intelligent Vehicle Highway Society of America, or IVHS AMERICA, was established in 1990 as a non-profit scientific and educational society to represent the diverse entities that are working together with the Department as partners to advance the national IVHS program. IVHS AMERICA is also chartered as a utilized Federal advisory committee to the U.S. DOT to help plan, promote, and coordinate the development and deployment of IVHS in the United States.

Congress has supported the development of IVHS with appropriated General Operating Expenses (GOE) funds for FHWA in FYs 1991, 1992, and 1993. In addition, the ISTEA contains the *Intelligent Vehicle Highway Systems Act of 1991* as Part B of Title VI. This Act established a contract authority program for IVHS activities of $94 million in FY 1992 and $113 million per year in FYs 1993 through 1997. The comprehensive FHWA IVHS program is designed to utilize funds from both categories to implement the provisions of the ISTEA and support advancement of the *DOT IVHS Strategic Plan*.

The ISTEA funds support a broad range of operational tests, the IVHS Corridors Program, early deployment studies, and other IVHS activities. The ISTEA funds also support critical, cross-cutting activities, such as the development of an open, national IVHS system architecture that is required to achieve and preserve nationwide compatibility of IVHS systems. The GOE funding support is necessary to supplement ISTEA-provided resources and will be directed primarily towards research and development projects, program support, technology transfer, and institutional issues activities.

The IVHS program is also included in the President's Rebuild America initiative. These funds will be used to accelerate several areas of the program, including research and development, the automated highway system, and the establishment of a commercial vehicle network. These funds will also be used to conduct additional operational tests of promising IVHS technologies, and to form partnerships with the defense and space industries to accelerate the transfer of their technologies to IVHS applications. These activities are further explained in the following sections.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
1. Research & Development Program			
GOE	17,500	18,510	+1,010
Rebuild America Initiative	-----	15,000	+15,000
TOTAL	17,500	33,510	+16,010

BACKGROUND

Research and development (R&D) efforts are an integral part of the national IVHS program, providing proven products which can be incorporated with existing components for IVHS operational tests. Major IVHS categories, which include R&D components, include:

- Advanced Traffic Management Systems (ATMS) address improvements in traffic signal control and freeway management.
- Advanced Traveller Information Systems (ATIS) provide pre-trip and in-vehicle information on routings, traffic conditions, hazards, and services.
- Commercial Vehicle Operations (CVO) has been established as a separate category in recognition of the unique characteristics of this transportation segment and opportunities to reduce regulatory burden and increase safety.
- Advanced Vehicle Control Systems (AVCS) will provide major breakthroughs in transportation safety, capacity and productivity.

The FY 1994 program will continue valuable existing R&D projects that have already started and initiate new projects within the framework of the National IVHS Program Plan developed jointly by the US DOT and IVHS AMERICA. Funding from the President's Rebuild America proposal will be used to expand critical R&D efforts that will support accelerated development of IVHS products and services. Purchase of these products by individual consumers and public agencies will result in early public benefits and help to stimulate the economy.

OBJECTIVES AND APPROACH

The R&D portions of the IVHS program will be carried out through the Federal contract and procurement process, utilizing innovative procedures such as consortia partnerships and Federal laboratories where appropriate. R&D funding of $2 million in FY 1993 and $9 million in FY 1994 will be transferred to NHTSA to conduct safety evaluations of ongoing operational tests.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Significant initiatives in ATMS, ATIS, CVO, and AVCS were funded in FY 1992 and prior years. ATMS highlights include work on traffic signal control strategies which dynamically adapt to changing traffic conditions, and development of tools that will permit optimization of flow on complete systems including both freeway and surface streets. ATIS efforts included evaluation of human factors aspects of in-vehicle traveller information devices, and development of a conceptual design for expanding ATIS to rural and small urban areas. CVO studies included a review of commercial vehicle on-board computer requirements and studies regarding automated CVO licensing, permitting, and safety systems. Work under AVCS has included radar-based obstacle detection / crash avoidance testing, early work in automated control, and design guidance on key human factors issues pertinent to automated highway system operation.

PLANNED ACCOMPLISHMENTS FOR FY 1993

In addition to continuation of funding for many ongoing projects, new ATMS / ATIS R&D efforts are being initiated in areas such as better analytical tools for fuel consumption and emissions calculations, improved methods to identify and predict the impact of incidents on traffic flow, alternative communications technologies, and new design approaches for in-vehicle warnings of safety hazards ahead, advanced work zone and adverse visibility warning and control systems. CVO and AVCS efforts include development of conceptual systems to address fleet management and information needs of commercial fleets; and support work for the automated highway system (AHS) effort, including human factors studies and new work in adapting machine vision techniques developed for Defense applications to autonomous road following.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In addition to continuation of funding for some ongoing projects, new R&D efforts would be initiated in areas such as multimodal transportation management scenarios, new freeway and surface street incident detection techniques, optimal routings to minimize congestion in a network on a real-time basis, and analysis of traffic and map database requirements. These types of studies contribute to the IVHS objectives of maximizing the efficiency of transportation service through traffic control and traveler information services. $4 million will be transferred to NHTSA to conduct safety evaluations of IVHS operational tests.

CVO-related efforts include systems to remotely inspect or aid in the inspection of key commercial vehicle components, electronic systems to allow carriers to make advance purchases and to verify adequacy of necessary licenses and permits and driver characteristics, and urban-based fleet management systems for small commercial fleets. These efforts will contribute directly towards productivity increases for commercial carriers, and results will be used in the CVO-oriented operational tests described in a later section.

PLANNED ACCOMPLISHMENTS WITH REBUILD AMERICA FUNDING

This increase in funding will be used to expand critical R&D activities and accelerate ongoing projects to bring IVHS products to the marketplace more rapidly. $5 million of this money will be transferred to NHTSA to conduct research and evaluations of the safety aspects of IVHS systems and technologies. Examples of the R&D efforts which will be accelerated include in-vehicle navigation and safety systems that incorporate a "customized" display of only those conditions or guidance (e.g. street signs) pertinent to the trip in progress; vehicle performance monitoring systems that would alert the driver to potentially dangerous malfunctions before an accident or breakdown occurs; and advanced detection and communications technologies.

Also supported would be research on collision avoidance systems that would accelerate development of commercial technologies to mitigate various types of accidents, and further development of "smart card" systems that would have the capacity for multiple functions, allowing the user to access both transportation and commercial services with a single card.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
2. IVHS Operational Tests			
Rebuild America Initiative	-----	15,000	+15,000

BACKGROUND

A key element of the national IVHS program is field operational testing targeted towards bridging the gap between IVHS R&D activities and full-scale deployment of proven technologies. Operational tests evaluate one or more new technologies, system concepts, institutional and/or financial arrangements in a real world highway environment under live transportation conditions. Numerous IVHS operational tests are already underway using funding from the ISTEA.

OBJECTIVES AND APPROACH

Operational tests are critical to fully evaluating the effectiveness of innovative IVHS technologies and institutional arrangements under real-world conditions. Operational tests are conducted as partnerships between the public and private sectors, with the partners sharing in both the technical and financial aspects of the project. Federal funds invested in IVHS partnerships, along with other funds that this money leverages, will begin to establish an IVHS infrastructure that will lead to deployment of IVHS technologies and services nationwide.

The FHWA will be guided by the National IVHS Program Plan and advice from IVHS AMERICA in determining operational tests needs. The selection of sites for these tests will be guided by uniform criteria to ensure that the proposed project contributes to advancing the national IVHS program and that the partnerships and financial arrangements provide a high probability of success. Standard guidelines for evaluating the safety and operational impacts of IVHS systems and technologies will assist in making decisions on deployment and ensuring that public benefits are being achieved.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Numerous IVHS operational tests, conducted as partnerships between the public and private sectors, have already been initiated using funding from the ISTEA. Among these are the TravTek project in Orlando, Florida, the ADVANCE project in Chicago, the HELP/Crescent commercial vehicle corridor along the west coast, and the TravelAid project along a hazardous rural interstate in Washington. Results from these early tests are already contributing to the knowledge and experience needed to advance the IVHS program.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Using funding from the ISTEA, 16 new operational tests will be initiated based on responses to the first solicitation published in the Federal Register in the fall of 1992. Among the IVHS systems and technologies these operational tests will evaluate include spread spectrum radio technology, a dynamic truck speed warning system, an on-board computer system to automate mileage and other recordkeeping for commercial vehicles, and an environmental sensor system to warn drivers of low visibility in rural areas.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The 102 proposals received in response to the DOT's first operational test solicitation demonstrated the significant interest and desire of U.S. industry and State and local governments to participate in the IVHS program. Funding from the Rebuild America initiative will provide expanded opportunities for participation in the program by both the public and private sector through additional solicitations for proposals for operational test partnerships.

Priority areas for operational testing will be guided by the National IVHS Program Plan. New partnerships will be formed to operationally test and evaluate rural safety systems, such as systems that would help prevent run-off-the-road accidents, identify safe passing opportunities, and provide "May Day" assistance for drivers stranded or in accidents in rural areas and unable to call for help. Other priority areas for operational testing include multi-modal advanced traveler information systems that would encourage transit usage, and evaluation of alternative surveillance, detection and communications technologies for advanced traffic management systems.

The new public/private partnerships that will be formed to conduct these tests will accelerate deployment of IVHS technologies and provide the private sector partners with a competitive edge in the global IVHS marketplace. Expanded operational testing activities will also promote a significant commitment to IVHS, among both the public and private sector, that is crucial for early and successful deployment of commercial IVHS products and systems.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
3. Commercial Vehicle Operations			
Rebuild America Initiative	-----	10,000	+10,000

BACKGROUND

The safe, efficient operation of commercial vehicles is crucial to the economy of the nation. The goal of the commercial vehicle operations (CVO) portion of the IVHS program is for trucks to travel like cars in this country, without having to stop in each state for weight, credential or safety inspections. Instead, these items will be checked by advanced technologies as the truck moves down the highway at prevailing speeds. This will lead to more efficient movement of goods and increases in productivity for the motor carrier industry.

OBJECTIVE AND APPROACH

The objective of the CVO element of the IVHS program is to use advanced technologies to increase the efficiency of commercial vehicle operations, reduce the motorfreight paperwork burden associated with the issuance of State credentials and the monitoring of size and weight compliance, and improve the vehicle screening and safety inspection process through real-time vehicle and driver monitoring systems. Several projects in the CVO area are already underway using funding from the ISTEA. Funding from the Rebuild America initiative would bring these projects together to begin to form a national commercial vehicle network. This would rapidly advance the commercial vehicle portion of the IVHS program, providing significant safety and productivity gains for the motor carrier industry.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

The HELP/Crescent was initiated in FY 1991 using funding from GOE and, in FY 1992, the ISTEA. HELP/Crescent is a partnership between several States and the motor carrier industry featuring instrumented trucks and weigh stations operating along a corridor from Texas to British Columbia. Advantage I-75 is another major CVO operational test initiated using ISTEA funding. The project is a multi-state partnership of both public agencies and motor carrier interests along the Interstate 75 corridor from Florida to Michigan and the Highway 401 corridor in Ontario, Canada. Both projects will enable legal trucks to bypass weigh stations and ports of entry, saving millions of dollars annually for the trucking industry by eliminating unnecessary stops and delays.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Using ISTEA funding, progress is continuing on the ADVANTAGE I-75 project, and the evaluation phase of HELP/Crescent is beginning. Another project in the commercial vehicle area initiated with ISTEA funds is the I-80 project, an east-west corridor from New York to California. Numerous studies are also underway to address the institutional issues that affect the commercial vehicle industry.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Funding from the Rebuild America initiative will be used to greatly accelerate the I-80 project. I-80 will become a showcase of advanced CVO technology and the spine that connects HELP/Crescent to Advantage I-75 to begin to form a national electronic information network for trucks. The project will significantly increase industry and State productivity through the electronic transfer of information about weights and credentials that will allow properly-equipped and compliant vehicles to bypass weigh stations and ports of entry at mainline speeds. Deployment of CVO technologies along I-80 will also improve safety by electronically checking driver and vehicle compliance with safety requirements at mainline speeds so that vehicles do not have to stop for time-consuming roadside safety inspections. The I-80 project will also reduce the paperwork burden for motor carriers by automating mileage and fuel purchase record-keeping. This will result in substantial cost savings for both the carriers and the States.

States located on the I-80 corridor, equipment suppliers, motor carriers and motor carrier associations have shown tremendous interest in the project. The States will participate in the project using regular Federal-aid highway funds to install weigh-in-motion and other roadside equipment that will facilitate the I-80 goals. Participating motor carriers will install, with their own funds, state-of-the-art equipment that will transmit credential and safety information about the vehicle and the driver to the roadside.

Additional funds from the Rebuild America initiative will be used by States on the I-80 corridor to install and test technology that will provide real-time information transfer on the safety status of trucks and drivers and promote database communications about truck credentials. By automating these corridors and encouraging the expansion of IVHS technologies onto other parts of the national truck network, a fully automated approach to commercial vehicle safety and regulatory compliance can become a reality.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
4. Automated Highway System			
Rebuild America Initiative	-----	10,000	+10,000

BACKGROUND

The ISTEA requires that the U.S. DOT develop an automated highway and vehicle system, and establishes a goal of having a prototype demonstration in place by 1997. Although Congressionally mandated, the AHS program is not specifically funded in the ISTEA. Initial work to date has been funded from other elements of the IVHS program.

OBJECTIVES AND APPROACH

The objective of the AHS is to develop a system of instrumented vehicles and highways that provides fully automated, "hands-off," operation at better levels of performance, in terms of safety, efficiency and comfort, than today. The AHS of this vision will also be practical, user-friendly, and financially affordable; deployable to both urban and rural areas; and will preserve the ability of instrumented vehicles to operate on non-instrumented roadways.

Like other elements of the IVHS program, the development of the AHS will maximize the involvement of the private sector in all aspects of the effort, and will involve cost sharing by the private sector partners.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

The first step in the development of the AHS was the award of a contract in September 1992 to research the human factors aspects of an AHS from the driver's perspective to provide design guidance on key issues pertinent to automated highway system operation. This contract was funded from GOE as part of the IVHS R&D program.

PLANNED ACCOMPLISHMENTS FOR FY 1993

A Broad Agency Announcement (BAA) was issued in FY 1993 to address other key issues regarding the development of an AHS. Multiple contracts will be awarded to analyze issues pertaining to AHS applications, technology, design, deployment, operations, and practicality. These contracts are up to 1 year in length, and will provide direct input into the other phases of the AHS development. Funding for these contract will come from the "high risk" provision of the ISTEA IVHS Corridors Program that allows 100% Federal share.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The Rebuild America initiative provides the first dedicated funding source for the AHS, and will greatly accelerate its development. The demonstration phase of the program will begin with the establishment of one or more national consortia to perform prototype system development activities. This phase will be focused on a major program milestone of a 1997 demonstration of a prototype AHS as specified by Congress.

This milestone is the first critical step towards the goal of a fully-deployed automated highway system. Pursuit of this goal is extremely important, since an entirely new level of benefits may be realized with the complete automation of certain facilities. By eliminating human error, an automated highway could provide a nearly accident-free driving environment. The precise, automated control of vehicles on an automated vehicle-highway system could also result in an increase of two or three times the capacity of present day facilities, hopefully coupled with more environmentally benign propulsion methods.

In addition to the large potential for public benefits from an automated highway, development of the AHS will spawn numerous commercial opportunities for U.S. electronics and communications firms, as well as many other large and small high-tech companies. The program will also provide opportunities for the American automobile industry to develop and market new products that will operate on an automated highway system.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
5. Advanced Technology Applications			
Rebuild America Initiative	-----	20,000	+20,000

BACKGROUND

IVHS is developing at the same time that the reduction of the international military threat is making it possible to reduce investments in national defense. The tremendous technological resources represented by the people and facilities of the defense industry and the National Laboratories can be applied to IVHS to preserve these industries and to help ensure U.S. leadership in international competition for IVHS development.

OBJECTIVES AND APPROACH

There is a strong technical synergism between defense and IVHS in areas such as sensor systems, ultra-reliable system design, communications, expert systems and artificial intelligence. Capitalizing on this synergism will utilize national resources already in place and help bring IVHS systems to the market place sooner. This will benefit product developers, society, and of course, the country's national defense, by ensuring the continued availability of critical technological resources.

Partnerships with the national labs and the defense and space industries could greatly accelerate the transfer of these technologies to IVHS applications. Major defense firms, such as AT&T, Rockwell and Grumman, as well as numerous smaller firms, have already expressed a strong interest in partnering with the US DOT to apply existing technologies to IVHS applications and products. Discussions are also underway with the Advanced Research Projects Agency (ARPA) on applying defense technologies to IVHS applications.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Funding from the Rebuild America initiative will allow the U.S. DOT to establish these partnerships to accelerate transfer of a host of defense and space technologies to the IVHS marketplace. Discussions are already underway with ARPA concerning transfer of DOD technologies such as acoustic and machine vision detectors, laser and imaging sensors, communications, and advanced simulation techniques to IVHS applications. One proposed cooperative activity involving ARPA, AT&T and the FHWA would use passive acoustic sensors that were developed for maritime vessel surveillance along ocean bottoms. The project, called PASTA (Passive Acoustic Sensors for Traffic Applications), will provide for rapid incident detection and response for advanced traffic management systems. Other potential technology applications include high-performance distributed computing systems, simulation of complex systems, electromagnetic compatibility, vehicle command and control, global positioning systems and rapid prototyping.

Transfer of these technologies to IVHS applications is an outstanding opportunity for a "win-win" situation for everyone involved. Defense industry employers, and their employees, can have a new market for their skills and technologies, avoiding potential loss of a critical national resource. At the same time, the transportation world will benefit from a transfer of technology that the taxpayers have already paid to develop, and the entire economy will benefit from an improved transportation system.

		AUTHORIZATION/OBLIGATION LEVEL		
		FY 1993	FY 1994	CHANGE
6. IVHS Program and Systems Support				
	GOE:	12,500	12,300	-200

BACKGROUND

The IVHS program has grown quickly since FY 1990, and the need for management and systems engineering resources has matched this growth. Procurement of program and system engineering resources beyond those available from in-house FHWA staff is necessary to maintain an effective program and project management capability.

OBJECTIVES AND APPROACH

The FHWA has instituted a structured management and coordination program to effectively deliver the FHWA IVHS program. A number of mechanisms help assure that FHWA's program is managed effectively and coordinated with other DOT agencies and the private sector, including:

- Use of the IVHS AMERICA as the national forum for discussion of relevant issues by public/private/academic sector parties.
- Development of the DOT IVHS Strategic Plan which identifies the goals, objectives, and milestone areas for the DOT IVHS program and establishes a course of action necessary to achieve the program's goals and objectives. The DOT IVHS Strategic Plan was submitted to Congress in December, 1992 as required by the ISTEA.
- Development of a comprehensive National IVHS Program Plan, coordinated by IVHS AMERICA, which will provide the detailed "road map" required to both plan and track progress toward deploying the wide range of IVHS user services. The Program Plan will also serve as the instrument through which the DOT solicits, and IVHS AMERICA provides, formal program advice every year.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

Great progress has been made during 1992 and prior years to establish the organization and management approach necessary to deliver the IVHS program. A multi-year "Systems Engineering and Support Services" contract with the MITRE Corporation supports a wide array of efforts such as early work towards IVHS system architecture, standards, technical support for operational tests, and project evaluation. Technology transfer activities were initiated to facilitate accelerated deployment of IVHS systems and technologies. In addition, an extensive IVHS Institutional Issues program has been established to identify potential legal, jurisdictional or institutional barriers to IVHS deployment, and to formulate strategies to remove or minimize these barriers.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Plans for FY 1993 include continued funding support for IVHS AMERICA, continuation of the MITRE system engineering/program support contract, operations support, and program assistance efforts at VNTSC. Working with IVHS AMERICA, the DOT element of the National IVHS Program Plan will be completed to describe the systematic development of a set of IVHS services, and lay out the research, development, testing and deployment guideline activities that are needed to reach the point of deployment of each service. An important aspect of the FY 1993 Institutional Issues Program will be the completion of the Nontechnical Constraints Report for submission to Congress by December, 1993.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The National IVHS Program Plan will be completed as a joint effort with IVHS AMERICA. This plan will provide the detailed, specific guidance on program activities and priorities that is needed for a program as large and complex as IVHS. The National IVHS Program plan will also serve as the vehicle for soliciting and receiving continuing program advice from IVHS AMERICA.

The greatly increased level of program activity initiated by the ISTEA and the Rebuild America initiative requires that IVHS program and system support efforts be maintained and possibly expanded. Continuation of the systems engineering and support contract with the MITRE Corporation will provide essential technical support for critical elements of the program, including IVHS systems architecture development, the automated highway system, and frequency spectrum planning.

Institutional experiences from mature IVHS operational tests will be available to develop a comprehensive "best practices" guide, and model legislation/regulations will be developed to facilitate deployment of IVHS services and technologies as they become available. Support for technology transfer activities will continue to provide the training and assistance needed to lay the foundation for wide-spread deployment of proven IVHS systems and technologies.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
C. LONG-TERM PAVEMENT PERFORMANCE	6,000	10,000	+4,000

BACKGROUND

One of the four major technical areas of SHRP is Long-Term Pavement Performance (LTPP). Within this area, the performance of both asphaltic and portland cement concrete pavements will be carefully monitored. These pavements are divided into 1) General Pavement Studies (GPS) which are monitoring existing pavements; and 2) Specific Pavement Studies (SPS) which are monitoring pavements especially designed and constructed for the SHRP Program. These pavements are located in all 50 states, Puerto Rico, and Canada. These experiments are set up to determine the effect on pavement performance of various environmental, design, and traffic factors. Pavement surveying and evaluation are set up to be very consistent and uniform at all locations.

OBJECTIVES AND APPROACH

The LTPP is a national in-service pavement performance monitoring program intended to develop a data base on the effects of pavement design, loading, materials, loading environment, and rehabilitation and maintenance on pavement service life. The total data base will eventually include 20 years of performance data.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

An initial round of data collection was completed on 780 GPS test sections and constructed SPS sections. Distress photography and profile measurements on all sites in the United States and Canada were completed. Initial products to come out of the LTPP work are standard test methods, such as the techniques described in the "Distress Identification Manual."

With the completion of the SHRP, the FHWA has undertaken the responsibilities to continue the LTPP activities. For the continued monitoring of the LTPP projects in the post-SHRP period, an LTPP Division has been established under the Office of Research and Development at TFHRC.

The FHWA LTPP Division staff worked closely with the SHRP LTPP staff to ensure a smooth transition of all administrative and technical activities. A major task was to change over all technical contracts from SHRP to the FHWA procurement system. In order to accomplish this, all contracts were re-advertised, evaluated, and selected. The four regional correlation contractors were the first group to go through this exercise.

Distress condition survey, material testing, and technical support contracts also were changed over.

A contract was executed with the Transportation Research Board (TRB) to assist the FHWA to accomplish (1) establishing a SHRP Monitoring And Research Transfer (SMART) Program; (2) selecting and implementing SHRP products; (3) maintaining and operating the LTPP National Database; and (4) coordinating the four LTPP regional correlation offices until September 1993.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Field data collection, distress condition survey, and some material testing and investigations will continue. A study will be initiated to evaluate the data and make recommendations for improved structure designs, material specifications, construction, and maintenance procedures. Field survey and testing equipment will also be updated to ensure data collection efficiency.

PLANNED ACCOMPLISHMENTS FOR FY 1994

Field data collection, distress condition survey, and some material testing and investigations will continue for fourteen more years as envisioned by the original legislation. The National and International LTPP data bank, housed at the TRB, will continue to expand with the input of additional monitoring data. Steps will be taken to improve the information management system and data release mechanism.

All other SHRP research activities including asphalt, concrete, structures, maintenance, and highway operations will be completed by March 1993. Many of these activities will be monitored beyond 1993 to fully evaluate their life cycle effectiveness.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
D. TECHNOLOGY ASSESSMENT AND DEPLOYMENT	8,000	15,000	+7,000

BACKGROUND

To ensure the timely identification and assessment of innovative research results, technology, and products and the application of those that are determined to be of potential benefit to the highway community is the aim of Technology Assessment and Deployment. Research and Development (R&D) without application of the results is like a strategic plan that is not implemented. Neither yield the anticipated and desired benefits. In the case of R&D, the potential return on investment through increased productivity and savings in pertinent related systems are not realized.

The task of moving the results of R&D from the laboratory and innovative technologies from other sources into practice has long been assigned to the Federal Highway Administration (FHWA). There are a number of reasons for this. Among them is the widespread and decentralized nature of the highway program and FHWA's ability through its field structure to reach the 50 State highway agencies, the 37,000 plus local units of government, and the U.S. territories.

Another reason is the extensive effort and resources required to obtain widespread application of new products and technologies. Further, there is a national interest in assuring widespread application - witness the Stevenson-Wydler Technology Transfer Act of 1986 which recognizes the need for special, designed, and targeted efforts.

Finally and importantly, the U.S. highway community has long looked to the FHWA for the transfer of technology. This is supported by agreement among principals from FHWA, the American Association of State Highway and Transportation Officials, and the National Academy of Sciences that FHWA will be responsible for implementation of products from R&D programs being enhanced at both the National and State levels.

OBJECTIVES AND APPROACH

The one main mission of FHWA's Technology Assessment and Deployment Program, which is administered by the Office of Technology Applications (OTA), is technology transfer - the process employed to ensure the timely application of innovative research results. For any technology transfer program to be successful, two major objectives must be accomplished.

The first is to ensure that the innovation is truly a better way of doing business. The innovation needs to solve the technical problem at hand, not cause more expense or complication.

The second objective is to ensure that the end user is conditioned to accept the innovation - the change. That person needs to be made aware of the advantages and be willing to expend time and resources to accept the new. The natural human tendency is to resist change. Personal and institutional barriers to change must be overcome for innovation to be implemented.

Of key importance in accomplishing these objectives is how the new technology is packaged and marketed. It must be made easy to understand and readily adaptable with sufficient data to support the benefits of abandoning the old ways and deploying the new.

To accomplish these objectives, FHWA couples good communication and marketing skills with accurate and convincing data maximizing the benefits of innovative research products. To collect and compile this needed data, a timely and aggressive product assessment program is a must. Some of FHWA's efforts employed to accomplish this segment of the technology transfer mission are unique. In many instances, the end user is employed to assess the benefits of innovation on their own projects. Incentive funding is made available to the State Departments of Transportation to construct, assess, and document the results of using innovative technology on their home turf. In this sense, the end user becomes, in reality, the change agent - they convince themselves of the benefits of using innovation.

Other marketing techniques used include preparation and distribution of various types of publications, such as how-to-do-it video tapes and manuals, easy to read guide specifications, and most importantly technical assistance in the use of these materials when designing and deploying these innovative products.

FHWA has also been extremely successful in employing the "seeing-is-believing" or sometimes referred to as the "hands on" philosophy to accomplish change--to introduce and promote innovative technology. This technique includes use of mobile laboratories, equipment loans, display panels, and construction equipment actually brought to the construction site for demonstration and use in real life situations. Fact finding trips abroad to identify technologies for use in the U.S.A. is another mission of FHWA's technology transfer efforts.

ACCOMPLISHMENTS TO DATE (FISCAL YEAR 1992 AND PRIOR)

ROADWAY APPLICATIONS

There is a cooperative effort among FHWA, the States and the concrete pavement industry in the area of fast track paving. The task force has addressed two very significant issues. They include the pavement strength values for early opening to traffic and the high heat temperature management of new innovative mixes. The partnering effort is leading to some very significant breakthroughs that will minimize the lane closure time required for concrete pavement repairs and reconstruction - a very significant benefit in urban and traffic sensitive locations.

The asphalt mobile laboratory completed six workshops in addition to conducting the three week testing programs at contractor plants. The workshops brought out the very innovative use of volumetric design and control of asphalt mixes. The effort included continued promotion of innovative equipment and addressed the environmentally sensitive use of chemicals used in the normal quality control program. The information presented at the workshops were included in a technical paper that was recognized nationally by the industry as the most significant work in the asphalt area for 1992. As a result of these efforts, State DOT inspection procedures relative to producing a higher quality, longer lasting pavement have been enhanced.

There has also been further progress in bringing the use of European asphalt technology to the States. The five SMA (Stone Matrix Asphalt) projects constructed in 1991 were evaluated in 1992 by a special task force and all received very high marks. SMA is an asphalt mixture developed in Germany to provide a rut resistant pavement surface layer. This asphalt mixture has the potential to address a major problem on heavily traveled US highways. The task force has developed a generic specification that fits US construction and bidding techniques. The task force also developed the next step of the project - that being the formal long term evaluation and cost effectiveness of the product on various US highways.

Of significant accomplishment was the development of a full national quality initiative with the States and industry. Five regional workshops addressing quality were conducted with excellent results. The format for national seminars for senior officials from all elements of the industry has been completed. The planning for a decade worth of activities that address the entire quality issue continued aggressively.

STRUCTURES AND SOILS

In structures, the big picture is dominated by the decaying structural condition and functional capacity of many of the nation's highway bridges. The FHWA, the Congress and American Association of State Highway and Transportation Officials (AASHTO) agree on the need for a comprehensive bridge management system (BMS) to effectively use limited bridge funds. OTA in cooperation with several States has developed such a BMS. The system, called PONTIS, is being Beta tested by several State agencies and all highway departments are evaluating the program for use in their management activities. AASHTO is soliciting interest from the member departments in supporting PONTIS as a licensed AASHTOWARE computer product.

Accurate, uniform inspections of bridge conditions and capacities are the first step in defining and managing the problem of deficient bridges and the application of engineering solutions and bridge funding to eliminate bridge deficiencies. A major step in the direction of more effective and uniform inspections was made by the development and publication of the Bridge Inspector's Training Manual in January 1992. This manual is the most comprehensive bridge inspection guide ever published and will be the basis for training bridge inspectors for many years. For several years a serious problem in bridge performance and safety has resulted from a lack of adequate specifications, improper installation procedures, faulty materials, and/or improper handling of fasteners meeting American Society of Testing and Materials (ASTM) standards A325 or A490. The required installation bolt tension or clamping force was not being attained and structural performance was being adversely effected. This problem is being addressed by a well received Demonstration Project, DP 88, "High Strength Bolts." Specification provisions are explained and proper manufacturing and testing of bolts, nuts, and washers is presented. Equipment and proper procedures for installing, torquing and inspecting bolt tension have been demonstrated. Twenty-three States have received the demonstration and all have adopted the new techniques.

In geotechnical engineering, almost 20 percent of funds allotted to bridge construction by the FHWA and the State and local transportation departments is spent on pile foundations. Unwarranted costs can result from either inadequate or overly conservative design and from construction claims related to pile driving difficulties. As part of a former DP 66, a comprehensive, easy-to-follow guide describing the steps required in planning, conducting, and interpreting the results of static load tests on driven piles and drilled shafts has been developed and published. The manual will reinforce the technology implemented as part of the field demonstrations done under DP 66.

SAFETY AND DESIGN

During 1992, advancements were made in transferring new safety and design practices, and evaluations of hardware and devices for roadside safety. For example, guidelines on the use of changeable message signs were developed and disseminated to the highway community. When used properly, these signs provide real-time highway condition information to motorists, a component of IVHS operations. The OTA also developed a handbook and videotape on roadway delineation practices. Improved practices were needed in recognition of the continued rise in automobile use in all parts of the country. The handbook responded to highway agencies' search for solutions to traffic operations problems through use of new and improved roadway delineation systems that will better define the operating area for the motorist. This handbook and videotape will assist traffic and maintenance engineers in determining the appropriate system for a particular situation.

In-service performance evaluations on new attenuators continued and were shared with the highway community including guidelines for the proper repair of the Connecticut Impact-Attenuation System. New evaluations of breakaway wood utility pole hardware were initiated in several States. Analysis of a new fluorescent strong yellow/green color to heighten driver attention at pedestrian, bicycle and school crossings was initiated. A compendium of safety information on state-of-the-practice was updated and readied for acceptance by the highway community. This publication, "Operational Practices Related to Highway Safety," commonly referred to as the "Yellow Book" was last updated in 1974.

Activity in emerging and emphasis safety programs was strong. In 1992, over half the State highway administrations received promotional presentations on the Corridor Safety Improvement Program (CSIP). The CSIP is a joint National Highway Traffic Safety Administration (NHTSA)-FHWA program to address severe accident problems on arterial corridors using a comprehensive engineering analysis, localized enforcement, enhanced emergency medical services and public awareness activities. As a result of these promotional efforts, coupled with technical assistance, a dozen States have initiated pilot corridors.

In addition, efforts to identify technology appropriate for inclusion in safety management systems mandated by the ISTEA legislation of 1991 were initiated. Planning has begun on a series of workshops that will be conducted around the country pulling in the expertise of academia, industry, and government to develop guidance on how to incorporate safety into agencies' activities and projects.

Also started in 1992 were improved outreach efforts for highway safety. By better educating and informing the highway user of his role for improved highway safety, attitudes and driver actions can be modified. An effort was initiated to improve compliance with traffic control devices with an initial focus on traffic signals. The framework for this campaign was completed. Outreach activities for improved bicycle safety were conducted jointly with NHTSA. While much educational material exists for school age children, little current material exists for adults. FHWA and NHTSA, in partnership with the U.S. Cycling Federation, developed a short safety training film targeted at adults, using U.S. Olympic hopefuls to deliver safety messages. Two public service announcements were also a product.

TRAFFIC AND MOTOR CARRIER

A number of mobile display/hands-on efforts have gotten underway. The development of a 2-day demonstration of, and introduction to, Geographical Information System (GIS)/Video Imagery System was pilot tested with a van fully instrumented with state-of-the-art video imagery workstation and an electronically operated camera. Formal presentations have begun. The tractor, semi-trailer and engineering services contracts are well underway for a 2-day workshop/hands-on demonstration of recently developed electronic traffic control equipment and software. Some 25 manufacturers and vendors are providing state-of-the-art equipment and technology to be displayed in a 48-ft semi-trailer that will tour the States and local jurisdictions. The Automated Traffic/Truck Weight Monitoring Equipment (Weigh-in-Motion) project has been touring the States over the last two years, with 36 States visited and over 1,000 participants in FY 1991. Six States will be visited in FY 92.

Two new pieces of traffic control equipment have completed the final development and testing stages, the self-powered vehicle detector and a detector tester. These items developed with FHWA and private/public cooperative efforts are now ready for field testing and deployment.

In other efforts to reduce congestion, a two-day workshop to demonstrate the concepts and techniques of incident management has been pilot tested. Work orders with Virginia, Texas, and Washington have been awarded to develop additional audio-visuals and other materials in support of this project. Formal presentations began in Denver, Colorado.

Technology transfer efforts have been substantially increased in the motor carrier program. Various efforts to train and educate the motor carrier industry were initiated. For example, mechanisms for training the enforcement community on collection of truck accident data elements was initiated. Accurate and consistent truck accident information is essential to information needs for accident analysis and countermeasure development. Activities that will train judges of the importance of enforcing the .04 percent blood alcohol content for commercial drivers were also initiated.

TECHNOLOGY ASSESSMENT

Technology assessments were initiated in the following areas to determine the development status and appropriate levels of deployment promotion: expert systems for highway applications; robotics for inspection and maintenance, European soil nailing techniques, and Japanese traveler information systems. Market penetration (current deployment levels) and user needs assessments were initiated for hot recycling of asphalt pavements, congestion, and other management systems.

Innovative mechanisms are being evaluated for enhancing the agency's technology transfer activities. These include the use of computer-assisted training approaches and the distribution of technical information through CD-ROMs.

PROGRAM SUPPORT

Market and promotion activities and products have been initiated for the previously unidentified and non-traditional clients. Technology marketing efforts will include a better segmentation of the market for highway technology for enhanced effectiveness.

A process for the systematic identification of emerging technologies for highway applications was developed. Also, a review of the technology transfer program was undertaken. Both efforts will be used to enhance the agency's technology transfer program to better address the changing challenges of the industry.

In the overall design of the Technology Transfer Program, FHWA program offices and field offices as well as technology transfer offices were enlisted in the outreach process to ensure that new technology and innovations get into the hands of the users as quickly as possible. Staff in the FHWA field offices are in continual contact with the State transportation agencies. Funds have been provided to the FHWA's regions and divisions for a variety of technology transfer functions. These funds have helped to finance activities such as IVHS Congestion Management sessions; an exhibit on the mobility of the elderly; Arterial Traffic Control sessions involving local jurisdictions in a region-wide management planning session; numerous site visits to interact with State and local officials; and, in general, allowing the field offices to reach out further into the highway community in their technology transfer efforts.

PLANNED ACCOMPLISHMENTS FOR FISCAL YEAR 1993

ROADWAY APPLICATIONS

In fiscal year 1993, the evaluation, transfer, and implementation of innovative technologies with both the private sector and our State highway agency partners will continue at a steady pace. The areas that offer the most potential to improve the durability, efficiency, and quality of roadways include asphalt materials, concrete materials, performance-related specifications, and quality management.

Field demonstrations and technical assistance provided through a fully equipped mobile asphalt laboratory will continue. This initiative affords the State highway agencies the opportunity to see first hand innovative test equipment and to discuss asphalt mix design details with fully qualified technicians and engineers. More importantly, they will be able to see innovative procedures applied at an active asphalt plant on a mix they are developing and evaluating. Along with the mobile laboratory, regional workshops, evaluation funds, videotapes, and training manuals will continue to be made available. A 2-day workshop which is an integral part of this project will be expanded to further address the needs for strengthening skills of State highway agency technicians and engineers in the asphalt mix area. This continually expanding effort will allow our partners to bring state-of-the-art technology into practice at an accelerated rate.

As an innovative solution to asphalt pavement rutting, Stone Mastic Asphalt (SMA) demonstrations will continue aggressively. Although several projects have already been constructed, this will be the year that full experimental sections will be built that place SMA in various weather and traffic conditions in comparison with conventional mixes.

The activities of the mobile concrete trailer will continue in several important areas, and be expanded to further address needs of the State highway agencies. Many activities in the concrete area will continue to be in partnership with the industry. Of major significance will be the promotion of innovative admixtures as solutions to hot, cold, and short time concrete placement issues.

Concrete materials initiatives will continue to demonstrate the use of innovative laboratory and on-site testing equipment and promote the use of high performance concrete. Because the equipment loan program has proven to be a very effective method of transferring the use of innovative equipment to the States, this program will be expanded, through additional equipment purchases.

Non-destructive testing (NDT) is a spin-off of the basic mobile concrete laboratory project. This project will provide a hands-on workshop and an equipment loan program that will accelerate the use of NDT equipment currently in use in the mobile laboratory. These workshops will continue for several years depending on the level of interest of the States. Initiatives to start a national certification program in this type of testing will be underway.

Much is being researched about performance-related concrete specifications. Interim specifications have been developed and longer range concepts are being considered by many States. Concrete laboratory support will continue as these specifications are developed and implemented. This project will be integrated with the quality initiative and will implement some of the principles promoted in that effort, especially in the areas of testing, inspection, and contractor process control. In addition, this project will promote more effective utilization of the private sectors ability to manage and build a quality highway facility.

The emphasis on quality management remains an issue of national significance. This project will provide for national direction, addressing a broader role for quality in the highway environment. It will include several training and technology transfer opportunities. The first is for chief administrative officers (CAO's) from the public and private sector, and will give them the opportunity to understand national initiatives that will effect their industry well into the next decade. The second course will cover statistics and will include 2-day and 5-day modules. These courses will be available throughout the next fiscal year. Through these types of partnerships we can ensure that innovative technology will be implemented to improve the quality and efficiency of our highway systems.

STRUCTURES AND SOILS

Implementation of bridge management systems by all State highway departments is mandated by the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991. Significant changes will be necessary in both bridge management program practices as well as in the collection and management of bridge condition and capacity data. In the former case, a training program will be developed and activated to educate current and future bridge engineers and managers in the principles of bridge management and in the methods and software used to implement those principles in a highway program. In the latter case, bridge inspectors will be trained in new, more effective methods of evaluating and recording bridge condition information for use in bridge management analyses.

A critical concern in the continued integrity and safety of highway bridges is the condition of underwater foundations, since many large bridge failures result directly from loss of support or structural integrity of the foundation elements which are underwater and therefore difficult to reach and thoroughly inspect. A previous demonstration project, DP 80, "Underwater Inspection of Bridges" introduced several methods of investigating the condition of foundations under water. This project will be supplemented by demonstration of further improved methods of underwater inspection plus cost-effective materials and methods for repair of foundation defects under water.

SAFETY AND DESIGN

A modest program in prior years, the application of safety and design technologies continues to grow from fiscal year 1992 to fiscal year 1993. New safety and design practices, hardware devices and tests should become available for application. Such items need in-service test and evaluation. In particular, new guiderail end terminals and attenuators will be ready for application, and additional States desiring to test breakaway utility poles will be added to the ongoing evaluations.

Advanced traffic control devices will be emerging from research. For example, prototype testing of new retroreflectometer devices should be complete and available for in-service trials. Multiple devices will be procured for rapid evaluation and tested in coordination with State highway administrations. These devices will allow reflectivity/visibility guidelines to be established for traffic control devices and will enhance positive guidance capabilities.

Hardware to discourage running red lights will be evaluated for deployment to improve safety at intersections.

As a supporting activity for roadside hardware, an effort to harmonize hardware testing criteria within the international community will continue. This effort was initiated with a conference held with European Community representatives in 1991. Obtaining harmonization of testing criteria will enable transfer/marketing of hardware devices in the international community. International coordination will continue in FY 93.

Measures to improve highway travel for an aging population have been analyzed over the last several years and certain activities can be undertaken to improve safety, e.g., work zone accommodation and lighting requirements. Promotional efforts to sensitize the highway community to these significant issues will be completed.

In addition, technical summaries, synthesis reports and training materials will continue to be developed as needed, and workshops and seminars will be used for marketing and technology transfer.

Efforts for emerging safety emphasis programs will also grow. The promotion of community based pedestrian safety programs will continue, and more technical assistance and cost sharing for start-up and evaluation will be provided to State and local agencies. Also the promotion of Safety Management Systems mandated by the ISTEA of 1991 should be in full swing with selected trials receiving special evaluation funding.

The promotional phase of the Corridor Safety Improvement Program (CSIP), a joint NHTSA-FHWA initiative designed to address severe accident problems on arterial corridors, will be near completion. This comprehensive approach involving engineering, enforcement and public awareness to reduce accidents and injuries will have been presented to over 30 States. As a result, more than a dozen States have initiated pilot corridors and more are expected as their success becomes apparent.

After being initiated in 1992, outreach and national safety campaign activities will be in the public eye. FHWA's efforts to change driver attitudes and achieve improved compliance with traffic control devices will be implemented in various geographic regions. Public relations techniques with education and enforcement components will tackle this traffic safety issue.

Motor carrier safety technology is emerging on a larger scale than ever before; however, reaching the varied types of operators (from large corporations and their drivers to single unit owner/operators) is extremely difficult. Also, a large portion of the enforcement community does not have the most current information related to truck safety. Marketing methods that better reach both the broad spectrum of commercial vehicle operators and the enforcement sector with the latest safety information will be completed and available for use. Also, blood alcohol content (BAC) training will be provided to judges to inform them of the importance of the low BAC established by regulation for commercial vehicle operators. In addition, new techniques for identifying low BAC levels will be provided to the enforcement community.

The National Governors Association's common truck accident data elements are necessary for meaningful truck accident analysis. Training for the entire enforcement community on collection of this essential data will be developed and disseminated to the community using innovative techniques. State-of-the-art interactive computer-assisted technology will be used to reach the vast number of enforcement agencies.

TRAFFIC AND MOTOR CARRIER

The Traffic and Motor Carrier technology applications program will continue to advance new projects in the following categories: Intelligent Traffic Control Systems, Command and Control Software for Traffic Signal Operations, Incident Management, Congestion Management, Demand Management, Traffic Signal Simulation and Optimization, Geographical Information Systems, Global Positioning, and Motor Carrier Operations. New technology produced by projects in these categories will be promoted through an array of innovative techniques to accelerate rapid acceptance and implementation by highway agencies. As Intelligent Vehicle-Highway Systems (IVHS) continue to mature during this decade, a large influx of new traffic and motor carrier technologies will become operational and will be in need of immediate promotion and implementation.

In further applications of technology to relieve traffic congestion, a number of activities will be initiated. The FRESIM training course and the CORFLO training course and user manual will be developed. The TRAF-NETSIM training course developed in FY 92 will move forward with presentations as will the Incident Management workshop. Technical information sources will be developed during FY 93, such as the *Communications Handbook* giving state-of-the-art practices in communications for traffic control systems, and the *Traffic Models Handbook* (and training course) covering traffic signal optimization and simulation. The national seminars on Integrated Highway Information Systems will continue during the year.

The mobile demonstration efforts with GIS/Video Imagery and Traffic Control Equipment and Software will continue to be operational, making presentations throughout the United States. The WIM/vehicle classification will be completed with a national WIM Conference. Work on Global Positioning Systems (GPS) will move into the next phase with the development of a demonstration project which will also include other related innovative accident information gathering techniques. Formal presentations on the GPS project should begin.

TECHNOLOGY ASSESSMENT

In response to the enhanced Federal research and development program, the assessment and packaging of the resultant products will be increased. Major efforts to identify and assess new and innovative highway technology originating from the domestic highway industry—State and local highway agencies, and the private sector—will be continued in full force. This is an expanded effort to accelerate and more broadly disseminate information on beneficial innovations that are developed locally, within a State, or by the private sector.

The OTA's international efforts, in cooperation with the Office of International Programs, will include the support of international conferences and participation in international technical committees and technology scanning/study trips abroad. This coordination is to ensure that technologies identified from abroad are adopted smoothly for incorporation into the domestic technology assessment and deployment program.

In-depth scanning of universities and State highway agencies will identify and assess highway-related technologies to determine appropriate ones for further evaluation and promotion. An initial set of 10 universities and 30 agencies will be covered.

Preliminary products of these technology scanning efforts will be fully assessed and packaged for promotion and deployment to the U.S. highway community. Candidate products involve bridge technology, geotechnology, contracting practices, legal barriers to innovation, safety, robotics, and financing of highways.

PROGRAM SUPPORT

The OTA is playing a key role in the FHWA's cosponsorship of the Pacific Rim Transportation Technology Conference. With our cosponsor the Washington State Department of Transportation, this conferences will assembled more than 1,200 representatives from the United States, Canada, Japan, and other Pacific Rim countries to explore successful and advanced transportation programs and technology.

Additional marketing and promotion activities and products defined through market analyses will be geared to previously unidentified and nontraditional clients. Technology marketing efforts will include a better segmentation of the market for highway technology for enhanced effectiveness.

As the FHWA mission shifts to one more focused on technical expertise and technology transfer, new roles and responsibilities for the field organization will be developed and supported through new mechanisms, products, and technical training. This represents a scaling up of technology assessment and deployment activities to support the vision and challenges faced by FHWA. As part of this overall effort, we will continue to expand our funding assistance to the regional offices, enlisting their efforts in bringing technology to the States and others across the country. In addition, field personnel attendance at and participation in technology transfer gatherings such as the Pacific Rim Transportation Technology Conference will be supported.

The OTA will continue support services contracts to ensure a broader scope of capability in deploying technology throughout the highway community. Marketing services will provide professional market analysis and marketing and promotion plans for technologies and programs.

Also under the support services contract efforts, speakers and technical personnel will publicize research results and products at local, State, and national conferences and technical exhibits. Editorial support will be enlisted to ensure the timely writing and processing of technical publications in support of the marketing of technology. Panels of Federal and non-Federal experts will be convened to address and facilitate the advancement of the technical program, ensuring a concentrated and expeditious assessment and deployment of technology.

PLANNED ACTIVITIES FOR FISCAL YEAR 1994

ROADWAY APPLICATIONS

All major projects initiated in fiscal years 1992 and 1993 will be in an active demonstration and promotional phase in fiscal year 1994. Several new starts will emerge. For example, high performance shotcrete. This is a concrete mix placed with compressed air, is one of the innovative areas that will be supported by the concrete laboratory. A demonstration on innovative shotcrete techniques will be fully underway in 1994. This technique offers exceptional quality and time savings in both soil reinforcing and bridge rehabilitation techniques.

STRUCTURES AND SOILS

A comprehensive program to implement specialized bridge inspection techniques with state-of-the-art equipment will be pursued. Routine bridge inspections are largely done using visual techniques but certain critical bridge features and certain types of defects require much more sophisticated techniques to investigate. This is true of features such as wrapped and grouted cables, cable anchorages, prestressing strands, complicated steel connection details, and moveable bridge machinery. Some situations require specialized access to difficult to reach details. These problems will be addressed by demonstrating equipment such as acoustic emission devices, impact-echo technology, magnetic field disturbance techniques, and unique access methods such as remotely controlled helicopters carrying inspection cameras and devices. Additionally, new methods for automatic recording of bridge inspection information will be presented to support the need for more detailed data required for bridge management systems.

A companion project to the underwater investigation/repair project will focus on state-of-the-art equipment and methods for detecting scour at bridge piers and abutments. Efforts will focus on identifying scour problems before they cause serious reductions of structure integrity and also on monitoring scour during flood events in order to alert officials to incipient dangerous conditions which warrant actions such as road closings before catastrophic collapses occur.

The AASHTO is expected to approve the new bridge code which is based on the Load and Resistance Factor (LRFD) method of designing bridges and bridge foundations. In certain situations significant economies will result from applications of the LRFD method. The method applies statistically determined factors to both design loads and material resistances by using a series of load and resistance factors. Since this new code represents a complete new departure (including foundation design) in bridge engineering philosophy and practice from the Working Stress Design method, the need for a comprehensive training program in LRFD design coupled with technical assistance will be addressed by separate courses on superstructure and foundation design.

The environmental impacts and hazards to worker safety associated with removal and disposal of lead-based paints from highway structures are becoming an increasingly critical parameter in the costs associated with maintaining steel bridges previously painted with lead-based paints. A new demonstration project will address the most cost-effective systems for: protecting workers against the hazards of ingesting lead particles during surface preparation operations; containing debris from the surface preparation; development of guidelines and methods for storage and disposal or alternative use of the material collected from the surface preparation. OSHA regulations for worker safety will be addressed as will other Federal and State environmental protection regulations. Standard tests for evaluation of toxicity of wastes will also be demonstrated.

Other items to be featured include construction of bridge decks with high performance concrete and demonstration/construction of ground modification projects including soil nail walls.

SAFETY AND DESIGN

In addition to continued support for multiyear efforts active in 1993, a substantial increase in highway safety activities will occur. Continued at substantial levels will be safety hardware evaluations, pedestrian safety and safety management system promotions and demonstrations, and outreach initiatives. After being evaluated in 1993, preparations for promotion of devices that discourage running red lights will be initiated.

Technology transfer of motor carrier safety technologies will continue to increase due to the expansive range of related issues. For example, advances in hazardous materials handling technology will require dissemination throughout the industry. Other items will include driver fatigue countermeasures, proper use of automatic brake indicators and adjusters, technology to strengthen control of substance abuse and identify driver impairment, and use of on-board computers to assist in accident investigation.

Underlying any successful safety program is the collection and management of safety-related data. Improved accident data collection, safety analysis and safety information management is necessary for decision makers to enhance safety in all aspects of the highway system. Extensive amounts of data are collected annually at a high cost and improvements are needed in its accuracy, timeliness, cost to collect and availability for use. The "explosion" in computer technology makes advancements in all of these areas possible. It is timely to assess potential capabilities, investigate state-of-the-art applications, and promote adoption of state-of-the-art technologies. For example, use of laptop computers at the accident site to collect data, use of the global positioning system to accurately and easily record location, and incorporation of automatic error checking, and transmission of data directly to the data base for timely inclusion are all technically possible. Advancements in the data collection, control, and management systems will be the focus.

TRAFFIC AND MOTOR CARRIER

New condition responsive traffic control devices that collect environmental and roadway condition data (e.g., fog, blowing dust, ice, etc.) will enhance the motorist's ability to make informed decisions. These improved devices will be tested and evaluated along with enhanced sign/message presentation.

A roadside benefit-cost model to assist designers in the identification of cost-effective improvements should be complete. While being a component of a larger comprehensive highway safety design model, this element can be applied upon completion. Also available for marketing from the truck safety High Priority National Program Areas (HPNPA) will be countermeasures for truck accidents on urban freeways.

Typical new projects will expose users to innovative congestion reducing technologies. Included are hands-on displays that will continue to demonstrate new applications of GIS and Video Imagery Systems. Current projects will be expanded to reflect the organizational and business structures in which these technologies can reside, as well as other new innovative technologies such as Artificial Intelligence and Database Management. In further support of this will be the continuing of the GPS demonstration project. These technologies will greatly enhance intelligent decisionmaking and will be demonstrated both nationally and internationally.

New vehicle detection and control systems are now under development by private manufacturers and public agency researchers which will be available for wide-scale promotion soon. These systems include the Advanced Transportation Controller (ATC), spread-spectrum radio detectors, solar-powered detectors, wide-area detectors using video imaging, and pattern recognition techniques. These systems are expected to make a significant impact on the operation of computerized traffic signal systems and freeway surveillance and control systems. Other areas will continue to be developed in the traffic control and traffic management areas, including more efficient and reliable communications techniques, telecommuting, integrated and distributed traffic signal systems, congestion pricing, and congestion management planning. All of the above and other ongoing and proposed activities will be undertaken in a combined effort to mitigate projections of degraded traffic and motor carrier operations in the immediate future.

TECHNOLOGY ASSESSMENT

The in-depth scanning of universities and State highway agencies to identify and assess highway-related technologies for further evaluation and promotion will potentially add five more universities to the 10 from FY 1993 and 15 other agencies to the 30 from FY 1993. Technologies and methodologies identified through this process will be vigorously evaluated, and if appropriate, packaged for deployment. Scanning and assessing of foreign technologies will continue from FY 1993. Candidate technologies may fall within the areas of intermodal transportation, urban transportation, and environment, among others.

The results of previous studies that segmented the highway community and identified non-traditional partners will be used to package technical information and produce tools targeted for the range of audiences that need to consider the technologies being deployed.

Speakers and technical personnel will publicize research results and products from the SHRP and other programs at conferences and technical exhibits. Technical information and performance data on IVHS case studies, and the various management systems will be packaged and disseminated through diverse channels and mechanisms to promote the adoption of the beneficial innovations.

PROGRAM SUPPORT

The OTA will continue its contracts for marketing services; identification and assessment of innovations; speakers' bureau and exhibit assistance; editorial; and technical panel meetings.

Participation by FHWA field offices will continue to be critical to the success of the technology assessment and deployment program. As more products are made ready for deployment, field staff expertise will be called upon to ensure the timely adoption of these new technologies. Funding assistance will continue to these offices so they may carry out their efforts in bringing technology to the States and others across the country. Support will also continue in providing the needed technical training and various marketing products to support the field staff's technology assessment and deployment activities.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
E. LOCAL RURAL TECHNICAL ASSISTANCE PROGRAM	4,000	500	-3,500

BACKGROUND

The Local Rural Technical Assistance Program (LTAP), formerly the Rural Technical Assistance Program (RTAP), serves as the primary channel through which innovative transportation technology is prepared and delivered to both urban and rural local communities in the United States. Since 1982, a network of Technology Transfer Centers has been established to work with local transportation agencies in addressing their specific transportation goals and present new transportation technology and product alternatives to meet those goals. The number of centers has grown from the initial 10 centers to a projected total of 51. Minnesota is expected to come on board in 1993 as the 51st center. Funding for the operation of the centers to reach both urban and rural customers accounts for the major portion of the LTAP budget.

Beginning in 1992, technology transfer services were also provided to American Indian tribal governments with the establishment of four centers to specifically address their needs. Funding for the development and operation of these centers is provided by the FHWA and the Bureau of Indian Affairs (BIA) of the Department of the Interior. These centers are 100 percent federally funded.

LTAP receives overwhelming support from the American Association of State Highway and Transportation Officials, the National Association of County Engineers, the American Public Works Association, and the National Association of Towns and Townships.

OBJECTIVES AND APPROACH

The objective of LTAP is to improve roads and bridges and increase transportation safety awareness by:

Increasing transportation expertise at the local level and

Promoting the effective use of private, local, and State resources for transportation.

The LTAP approach is a program of training and technical assistance geared to local engineers, technicians, and government officials. In order to respond to the increasing demand for new highway technology in rural and urban areas, special technical products have been developed and assistance provided specifically structured for local highway agencies. These products and assistance are available through the nationwide network of Technology Transfer Centers.

With the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, the FHWA received the authority to expanded the rural program to provide increased technical assistance and usable modern highway technology to urban areas (50,000 to 1,000,000 population) to help meet their road-related problems.

Under the new legislation, the FHWA is required to establish a minimum of 2 centers to provide technical assistance to American Indian tribal governments on intergovernmental transportation planning and project selection, and tourism recreation travel. FHWA is working with the BIA to establish new centers to provide technology transfer services.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

In 1992, there were no new centers.

Specific accomplishments at the 50 centers included the following:

> Through March 1991, over 250 training courses were conducted to assist local agency employees obtain a Commercial Drivers License (CDL). The Centers provided over 1,400 CDL training videotapes, over 60 roadshows (demonstrations of the new CDL requirements by way of videotapes and practice tests brought to the local community), and 90 articles in newsletters about the new CDL requirements. The CDL requirement went into effect on April 1, 1992.
>
> Each year since 1991, conducted over 1,600 other training courses with a total attendance of over 46,000, demonstrated 1,700 roadshows (on-site exhibitions of new technology) with almost 10,000 in attendance, and provided over 90,000 publications and loaned over 9,500 videotapes to local agencies.
>
> Developed and mailed out technical quarterly newsletters to over 140,000 personnel each year.
>
> Although many of the benefits of the technology transfer program are not monetarily quantifiable, participants in training programs have given some indication of potential savings from using the training and new technology.
>
> Training offered in the Bridge Inspection and Rating, and Bridge Rehabilitation workshops could save the replacement of at least one bridge per year by early detection and being able to repair versus replace. The average cost of replacement is $90,000, or a $270,000 savings over a 3-year period. - Kansas

Estimated $3.5 million in savings compared to a total cost of $132,700 to attend the workshop sessions. - New York

Local agencies using special fabrics, referred to as geotextiles, to improve soil stabilization and road drainage estimate annual savings in the order of $500,000. - Oklahoma

Roadshows, "roads scholar" program, workshops and technical assistance, saved municipalities more than $4 million. - Pennsylvania

Implementing the Road Surface Management program, by one local government agency alone saved $500,000 per year. - Texas

Some of the technical-type material developed and distributed to the centers included the following: a manual on vegetation control for street and highway maintenance personnel; a handbook on bridge posting and evaluation; a training manual on hydraulic design techniques for bridges, culverts, and low water crossings on low volume roads; a soil stabilization manual and videotape; a workshop on roadway drainage (surface and subsurface); a manual on low volume roads and streets; a Spanish translation of "Standard Specifications for Construction of Roads and Bridges on Federal Highway Projects (FP-85)"; a training course on work zone safety for local agencies; and a guide on road dust abatement. From the Strategic Highway Research Program (SHRP), a video tape and flyer on new snow fence technology have been distributed to the LTAP centers.

Also funded in support of the centers was a national clearinghouse for training courses, videotapes, and technical products. In support of the network of Centers, the clearinghouse prepares a bimonthly newsletter to promote information exchange among the centers. The clearinghouse also prepares a catalog of training and technology resources, and maintains a videotape library.

In addition, FHWA initiated the development of new products for the LTAP centers and their clients. FHWA requested ideas for needed products from the center directors, and FHWA and State highway agency personnel and worked with center directors to identify the high priority needs.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Minnesota is scheduled to come on board as the 51st center in 1993. As in the past, the major activities of the centers will continue. The 51 centers will publish quarterly newsletters and make technical materials, i.e., manuals, training courses, videotapes, and brochures available on request. With the increased number of centers and the expansion into urban areas, an increased number of people are expected to be trained and the number of requests for technical materials is also expected to increase.

With the authority to expand into urban areas, many of the centers will be identifying their urban clients and also needed products and services for their urban audience. The special needs of the urban areas will be addressed by the centers in addition to continuing to meet the needs of their rural customers.

FHWA has coordinated with the BIA to provide transportation technical assistance to the American Indian tribal governments. Four centers will be established to provide technology transfer services to the American Indian tribal governments. These centers will be encouraged to coordinate their activities with the Native American Colleges and Universities. These centers have the added emphasis of providing training on tourism and recreational travel. Special products needed for the technology transfer efforts for the American Indian tribal governments will be identified and product development initiated.

FHWA will work with their partners in local agencies to identify relevant products for local highway agencies from the SHRP and prioritize, package and deliver these products to the technology transfer centers. Many of the new technology items identified by SHRP will be of interest to the LTAP community such as pavement maintenance techniques, snow fence technology, and new work zone devices to improve safety.

New products under development will be distributed to the centers as they become available.

PLANNED ACTIVITIES AND ACCOMPLISHMENTS FOR FISCAL YEAR 1994

In fiscal year 1994, activities brought on line during previous years will continue to be delivered to the Technology Transfer Centers. As in recent years, the bulk of the funding will be used to operate the 55 Technology Transfer Centers, the delivery arm for the program. Remaining funds will be used to fund administrative support activities such as the national clearinghouse.

FHWA will continue to actively package and promote relevant products from the SHRP for the local agencies. Of particular relevance to local agencies will be performance guidelines for improved materials and procedures for potholes, spalls, crack sealing/filling and join resealing repairs which will be developed into training packages. The LTAP technology transfer centers will be ready to use these training packages as they become available.

The above mentioned activities and accomplishments will be accomplished using funding provided under Section 6004 of the Intermodal Surface Transportation Efficiency Act of 1991.

The $500,000 requested will be used to support the operation of the regional Federal State Rural Development Councils. The LTAP will seek ways to improve coordination with other Federal agencies and help achieve cooperation with the States, localities, and the private sector.

	AUTHORIZATION/OBLIGATION LEVEL		
	FY 1993	FY 1994	CHANGE
F. NATIONAL HIGHWAY INSTITUTE	4,500	5,500	+1,000

BACKGROUND

The Intermodal Surface Transportation Efficiency Act (ISTEA) defines a new and expanded role for the National Highway Institute (NHI). The ISTEA emphasizes a coordinated transportation system involving all modes working in harmony to move people and goods and improve the nations economic vitality. The NHI's programs have been adjusted to stress these issues. The principal recipients of NHI training are State and local highway agencies who are the key figures in a nationwide intermodal transportation system. The training that NHI presents will address the intermodal and economic efficiency issues embodied in the new legislation and more. Training provided by NHI is carefully selected and is not available elsewhere. The majority of the courses teach how to use the newest and most advanced technology to provide an efficient and cost-effective transportation system. The ISTEA also expands NHI's responsibilities to provide training for the private sector and the international highway transportation community. New programs are underway in each of these areas.

OBJECTIVES AND APPROACH

The NHI has structured its programs to fill two important needs for the public sector. The first is to continue with short course training on an array of specialized highway technical topics. These are generally delivered on site to the State and local highway agency employees. The second is to expand the breadth of knowledge of major transportation topics through indepth multiweek education programs directed beyond the standard university curriculum to the practicing highway professional. These are generally centrally presented. In addition we are responding to the newer provisions of the ISTEA by establishing programs for the private sector and our international colleagues.

The majority of highway transportation work force for the public sector, organized in the late 1950's and early 1960's, is now being replaced with under-trained professionals. Furthermore, the private sector which is assuming a larger role as the public sector down-sizes, is being faced with under-skilled workers being brought into the work force without experience or training. In addition, new technology will be causing new "standard operating procedures" to be incorporated into tomorrow's highway. These developments will require new training for the existing work force and the new private sector work force so they can use the new technology. In addressing the private sector needs, the NHI is working through joint task forces involving various transportation industry specialties (National Asphalt Paving

Association and American Concrete Pavement Association). Finally, the training anticipated in the IVHS area is substantial.

The establishment of training programs that serve the international highway community devote careful attention to global economics and encourage the show-casing of U.S. technology. An extension program in transferring U.S. highway technology to the Latin American countries is moving ahead rapidly by offering technical assistance, training, materials, and management skills. Concurrently, we are working with the World Bank to bring training programs to third world countries on highway transportation and the capability of U.S. companies to meet their transportation technology needs.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

The NHI has concentrated its training for State and local government officials on approximately 80 technical topics a year. Important topics have been assessment of relative value of alternate designs (value engineering), how to design bridges and protect highway structures from damage due to floods, safety considerations that will reduce the likelihood of a fatality and injury of a motorist that leaves the travel lanes, and planning considerations to ensure a completely integrated highway network. States continually advised the NHI that the training they received has enabled them to improve their efficiency, safety, and economic productivity. Each year from four to eight new courses are developed which brings to the highway community the latest technology on some of the critical issues that are challenging highway officials.

PLANNED ACCOMPLISHMENTS FOR FY 1993

Specific courses are planned to respond to the intermodal emphasis of the ISTEA. These courses will address improved access to port facilities and integrated highway and mass transit facilities. In addition NHI will provide its regular short courses more often to satisfy the increased demand. A new series of comprehensive multi-week training programs will be developed by NHI to address specific topics for the private and public sector transportation specialist emphasizing where new technology is making substantial changes in how we plan, design, construct, operate, integrate with other modes, maintain, and administer our Nation's highway network. These programs will form the basic core of long-term training to be presented through the NHI "Center for Advanced Technology in Highway Transportation." This form of training will also be the major source of upgrading or expanding the expertise of practicing highway specialists in the new disciplines that future highway systems will demand.

The ISTEA makes NHI training available to the international community. The NHI is fulfilling this requirement by working closely with the World Bank and presenting a specially designed training program for third world countries in highway pavements. This training program will showcase United States highway technology and equipment to these international participants. The NHI has also provided the administrative and technical guidance to the Pan American Institute of Highway (PIH). Through this program NHI has provided, to our Latin American neighbors, training and technology guidance on highway safety materials (signs, energy absorption protective barriers, pavement markings), maintenance management procedures, and highway traffic control computer programs. Short courses and technical visits from the U.S. are in great demand by the Latin American countries. We see these as a direct link to economic cooperation in the highway industry.

PLANNED ACCOMPLISHMENTS FOR FY 1994

The majority of the requested increase is to meet the large private sector and international demand for NHI short courses and multi-week course presentation. The development costs are eventually recovered and returned to the program as the private sector participants are charged actual costs of the training presented. New safety and environmental regulations are generating substantial changes to the transportation process that require both the public transportation official and the private sector builder of the transportation system to seek training to understand the revised or new approaches for highway projects. As a result the demand for training in the new technology approaches is escalating.

This funding increase will also support the PIH in the growing international technology exchange of education and training. Through the PIH we can identify highway technology such as, intersection control equipment to improve traffic flow and safety, asphalt technology, materials testing equipment and practices, for technology transfer to Latin America. A joint program with the Inter American Development Bank is also being planned.

The NHI is closely watching the changes in learning technology and will evaluate and examine the possibilities for research and innovation in education/training techniques. Unique applications of new learning technology appear to be on the horizon that may be adapted to improve the capability/expertise of highway agency personnel inexpensively. Innovative instructional tools are possible that can provide " on the spot" guidance and training for solving problems encountered in the field. Developing this technology can be a major factor that will permit the adaptation of the culturally diverse workforce of the nineties into the surface transportation specialists this nation needs.

MINORITY BUSINESS ENTERPRISE/SUPPORTIVE SERVICES PROGRAM

	(dollars in thousands) FY 1993	FY 1994	CHANGE
AUTHORIZATION/OBLIGATION LEVEL	$8,000	$10,000	+$2,000

PROGRAM OBJECTIVES

The Minority Business Enterprise (MBE) supportive services (SS) program provides a variety of services and activities designed to:

- increase the total number of minority and women businesses active in the nation's highway programs, and
- contribute to the growth and eventual self-sufficiency of these businesses so that they may achieve proficiency to complete, on and equal basis, for contracts and subcontracts.

BACKGROUND

Funds for the MBE/SS program are made available under 23 U.S.C. 140 (c) for the State's to develop, conduct and administer training and assistance programs for these minority and women businesses.

All the States to date have established and implemented a MBE/SS program along with procedures to assure that the goals, objectives and intent of the program are met. Each State's program is tailored to provide the necessary training and special assistance activities designed to meet the needs of the MBE and women firms working within their respective jurisdictions.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

By the end of FY 1992, approximately $96 million will have been obligated nationally by the States to fund SS programs. The FY 1992 level of $7.8 million continues to represent a bare bones SS program.

Special efforts for FY 1992 involved earmarking $1.0 million for new and innovative approaches. These new and innovative approaches include:

- Expanding the Entrepreneurial Development Institute (EDI) program in Region 4. This program is being administered through the use of local historically black colleges and universities in a number of southern States ($0.5 million); and
- The development and implementation of an enhanced Indian outreach effort on Indian reservations in selected States to

assist Indian owned firms to become certified DBE's ($0.5 million). This effort has been targeted for FHWA Regions 1, 6, 8, 9 and 10.

PLANNED ACCOMPLISHMENTS FOR FY 1993

To accomplish the MBE/SS program objectives in FY 1993, FHWA plans to allocate to the States, at the maximum $10.0 million (i.e. the maximum level established by law (23 U.S.C. 140 (c)). This allocation will fund SS activities designed to improve the short and long term technical, managerial and financial development of minority and women businesses in order for them to become viable business firms that are capable of effectively competing for contracts and subcontracts. The EDI program is Region 4 will continue to receive special attention through a supplemental $ 0.5 million allocation.

PLANNED ACCOMPLISHMENTS FOR FY 1994

In FY 1994, FHWA proposes to maintain funding at the maximum $10 million level. This will allow FHWA to continue/maintain the 1993 SS program. Overall, this allocation of $10 million will continue to fund SS activities designed to improve the short and long term technical, managerial and financial development of minority and women owned businesses desiring to participate in the Federal-aid Highway Program.

SUPPORT FOR INTERNATIONAL TRANSPORTATION ACTIVITIES

	(dollars in thousands) FY 1993	FY 1994	CHANGE
AUTHORIZATION/OBLIGATION LEVEL	$250	$800	+$550

BACKGROUND

The Federal Highway Administration (FHWA) has been active internationally for many decades. The International Highway Transportation Outreach Program was established to enhance U.S. technology, to improve the U.S. technical presence in developed and developing countries, and to provide better support for U.S. private sector firms in the international marketplace. In FY 1992, the Outreach Program was formally established when it was included in the newly passed Intermodal Surface Transportation Efficiency Act of 1991. In FY 1992, the agency began implementing the Outreach Program with significantly increased emphasis on international activities.

OBJECTIVES AND APPROACH

The funds will provide contractual support to expanded activities associated with the International Outreach Program as described in the new legislation and falling in the general categories of searching for new technology abroad, support of private sector export activities, technology exchange and technical assistance. The activities will include hosting international technical committees and foreign delegations, undertaking international scanning initiatives to find and incorporate foreign technology, sponsoring seminars on foreign road-related business and investment opportunities for the private sector, staging exhibits at major international highway-related meetings and conferences, demonstrating U.S. technology in foreign countries, providing technical assistance to specific regions of the world such as Eastern Europe and the former Soviet Union, and providing administrative and specialized support to the agency program offices in their international initiatives.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

- The agency continued its commitment to active participation in the Permanent International Association of Road Congresses (PIARC). The agency, in cooperation with the U.S. highway community, appointed U.S. members to PIARC technical committees. The agency also published several articles on U.S. highways in the PIARC "Routes and Roads" magazine. The article received wide coverage in the international community.

- The agency collaborated with industry associations to form the International Forum. The membership of the Forum is composed of Government and private sector officials from the U.S.

highway community. They are charged with coordinating U.S. involvement in international road organizations and in overseas technology assessment.

- The FHWA cosponsored a "roundtable" meeting to discuss road privatization in Mexico with the Mexican Secretariat of Communications and Transportation. The purpose of the meeting was to familiarize the U.S. private sector with the privatization activities taking place in Mexico and the associated business and investment opportunities. Participants included U.S. and Mexican Government and Private sector representatives. A background paper was developed prior to the meeting and a report was prepared that summarized the findings and conclusions of the meeting. Three working groups were established by the conference participants to begin follow-up activities.

- The FHWA continued to sponsor "scanning" activities with a goal to review and evaluate foreign countries for specific technologies that can potentially be introduced to the United States. Included were concrete pavement technologies in Europe, Intelligent Vehicle-Highway Systems in Europe and Japan, and "soil nailing" technologies in Europe.

- The agency concluded cooperative research agreements with Japan and Sweden. Implementation of the programs began in FY 1992.

- The agency made the first assignments for the International Developmental Exchange Program. The first two assignments were related to Bridge and Motor Carrier technologies in Saudi Arabia. The third assignment went to Sweden.

- The agency participated with the Trade and Development Program of the Department of State in an appraisal of the proposed $1 billion, 52km bridge between Buenos Aires, Argentina and Colonia, Uruguay. Follow-up activities included holding two half day seminars for U.S. firms interested in this development.

PLANNED ACCOMPLISHMENTS FOR FY 1993

- The agency performed a preliminary study on technology export promotion. The study outlined current technology promotion activities sponsored by U.S. Government agencies other than the FHWA. The study also outlined technology promotion activities sponsored by foreign governments. Finally, the report detailed U.S. road private sector interest in having the FHWA support their export products.

- An Executive Conference (or Roundtable) on Concessionary Financing in the Mexico toll road program was held in March 1992. Following the meeting, work groups were established to determine the next level of activity to assure full implementation of the findings of the meeting. The agency will undertake activities that respond to the suggestions of the work groups.

- The Office of International Programs will undertake initiatives to promote U.S. interests in Germany. Among these initiatives is a conference and workshop on training programs and a conference designed to establish transportation associations similar to those found in the United States.

- The FHWA will continue to sponsor scanning activities in foreign countries to review and evaluate specific technologies for potential introduction to the United States.

- Implementation plans will be developed for regional technology transfer centers, similar in nature to the Pan American Institute of Highways, that will be established in Finland, the Baltics, and Russia. Meetings will be hosted to coordinate these activities with other potential sponsors.

- The International Road Federation World Meeting, the Pacific Rim Conference, and ConExpo represent three of the most important international road-related conferences. The agency will present U.S. highway technology exhibits at all three of these conferences. In addition, the agency will provide support for some key Asian officials to attend the Pacific Rim Conference.

- The agency will continue its very successful Foreign Visitor's Program. The program gives foreign highway professionals assistance in arranging meetings and briefings on road-related technical subjects with U.S. experts. On average, this program is used by approximately 400 people every year. In FY 1993, a contractor will be hired to provide the support necessary to continue the program.

- The agency continued implementation of the International Personnel Exchange Program by sending five FHWA professionals overseas for developmental assignments. The assignments are in high priority technical areas as defined by the agency.

PLANNED ACCOMPLISHMENTS FOR FY 1994

- Based on the findings of the technology export promotion study, the FHWA will undertake several initiatives to address the export promotion sections of the Intermodal Surface Transportation Efficiency Act of 1991. The agency will undertake a project that addressed promotion of "soft side" goods such as construction supervision services, design services, and construction management services. The agency will also undertake a project that addresses promotion of road-related goods such as road building materials, equipment, and roadside furnishings.

- The FHWA will continue to sponsor scanning activities in foreign countries to review and evaluate specific technologies for potential introduction to the United States.

- The agency will continue to support the regional technology transfer centers in Finland, the Baltics and Russia. In addition, the concept will be promoted in other regions of the world.

- The FHWA will organize and carry out meetings and conferences to facilitate discussion and evoke views and opinions on emerging issues related to transportation, trade and environment in the Americas. Groups such as the Council of Ministers of Transport for Latin America will be key participants for discussions on policy and related issues.

- The FHWA will undertake follow-up activities for the ISTEA Section 6015 study that was performed in 1993. These activities will include meetings such as the IRF meeting on international trade in Monterrey, Mexico and efforts to harmonize infrastructure planning along the U.S./Mexico border.

- The FHWA will organize and implement initiatives to promote U.S. transportation interests in Russia. These initiatives will include: 1) observational study tours to assist in decentralizing the Russian highway program; 2) training components for Russian highway program; and 3) the provision of technical advisory services to survey the strategic highway technology needs for the reformation of the Russian highway sector. The FHWA will also assist in developing and translating critical technical materials.

- The FHWA will continue its support of World Bank regional highway development and related initiatives in central and eastern Europe. This will include performance monitoring, roadway information systems, and roadway administration policies and procedures.

- Follow-up activities to any roundtable meetings held in FY 1992 will be undertaken.

- The agency continues implementation of the International Personnel Exchange Program by sending three FHWA professionals overseas for developmental assignments.

FAIRBANK BUILDING RENOVATION

(dollars in thousands)

AUTHORIZATION/OBLIGATION LEVEL FY 1993	FY 1994	CHANGE
1,940	950	-990

BACKGROUND

The Fairbank Building was constructed in 1943 and primarily used as a machine shop until 1964 when a major renovation occurred. Major problems still exist:

- While the original steam radiator heat has been augmented and later modified to include steam coils, it is still nearly impossible to control temperature and air balance.
- Many of the original utilities including pipes, drains, conduits, wiring, lighting and asbestos pipe insulation have remained in place and untouched for 48 years.
- The domestic hot and cold water pipes are severely restricted by heavy deposits of calcium and corrosion.
- The storm pipes and sanitary sewer lines are clogging with rust scale and corrosion.
- Windows in the building are single pane casement type and contribute to problem in controlling the heat and air conditioning of the building.

OBJECTIVES AND APPROACH

Renovate the Fairbank Building to create a satisfactory office and laboratory workplace for the staff and to comply with the Federal energy reduction made by 1995. Many laboratories now located in the Fairbank Building carry out studies using volatile materials, gasses, and even nuclear substances. The safety of the employees, visiting researchers, and contractors requires that all of these laboratories be maintained following current codes and physical accommodations.

The Fairbank Building is very germane to the mission of the FHWA, and especially to the future mission of the Research and Technology Program in as much as it houses the staff and physical laboratories in the basic sciences such as chemistry and materials. The building also houses our training staff which is critical to the delivery of advanced technology tot he highway community. The propose renovation of the Fairbank Building will provide a safe and high quality work environment for the research staff which will help to implement the NTP and to carry forward with the responsibilities for our significantly expanded R&D program.

ACCOMPLISHMENTS TO DATE (FY 1992 AND PRIOR)

From 1964 to 1980 many modifications, alterations, repairs and refurbishment occurred to accommodate the increasing R&D staff and the changes of emphasis int he research programs.

A contract with an Architectural and Engineering (A&E) firm to design new systems for the Fairbank Building and to recommend improvements for the facility was executed in February 1992.

PLANNED ACCOMPLISHMENTS FOR FY 1993)

Let a contract for the renovation of the Fairbank Building which will include major systems such as heating and cooling, plumbing, electrical, replacement of old windows with a new energy efficient type. Correction of code violations and improved handicapped access will be addressed. Specifically, the following major laboratories will receive critically needed refurbishment: Bituminous Mixtures Laboratory; Asphalt Binders Laboratory; Chemistry Laboratory; Aggregate Preparation Laboratory; Soils Mechanics and Foundations Laboratory; Pavement, Base, and Subbase Laboratory; Portland Cement Concrete Laboratory; Materials Testing Laboratory; Concrete Curing Room; Freeze Thaw Tests Laboratory; Corrosion nd Paint Laboratory; and Nuclear Laboratory.

PLANNED ACCOMPLISHMENTS FOR FY 1994

A preliminary report by the A&E firm on the building systems indicates the need for additional work not addressed in our FY 1993 request. A cost breakdown is attached.

Rehabilitation of Fairbank Building
Cost Breakdown for FY 1994

An A&E contract to develop plans for the Fairbank Building renovation was signed in February 1992. The architect's review and investigation of the various building systems is uncovering additional deficiencies that were not anticipated when the FY 1993 budget was prepared.

ACTIVITY	COST	REMARKS
Correction of Code Violations	$250,000	• Enclosing stairways • Removing or renovating attic office space • Replacing narrow risers and steep stairs
Provide Ladies Rest Room in Basement	$50,000	• Facilities do not currently exist in the basement
Replacement of Rain Leaders	$25,000	• Existing rain leaders are built into exterior walls • Leaders are deteriorated and partially blocked
Security System	$75,000	• Expand Turner Building System to exterior doors of Fairbank Building
Replace Interior Doors	$25,000	• Doors do not close • Lock sets do not work • Louvered doors are part of the central air system and violate fire code
Removal of Special Air Conditioning Systems	$150,000	• Several laboratories have separate air conditioning systems • Combining these systems into the central system improves efficiency and provides additional space

Rehabilitation of Fairbank Building
Cost Breakdown for FY 1994
(continued)

ACTIVITY	COST	REMARKS
Electrical System	$125,000	• Ballasts in basement lighting fixtures contain PCB • Provide emergency generator for safety and security systems • Cable trays for computer and communication cables which are presently laying directly on ceiling tiles
Heating, Ventilating, and Air Conditioning System	$150,000	• Provide individual room thermostats • Add humidifiers to eliminate static electricity problem
Environmental	$100,000	• Mechanical system for dust removal from laboratories • Isolating laboratory test equipment that creates noise and vibrations

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing (in thousands of dollars)

	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
Program direction and coordination:			
Executive direction	1,400	1,073	1,069
Program review	482	401	401
Legal services	2,535	2,524	2,511
Public Affairs	285	246	244
Civil Rights	1,531	1,497	1,499
General program support:			
Policy	10,484	10,023	9,900
Research and development	45,386	83,388	74,598
Administrative support	62,276	64,986	84,131
Career development programs	6,973	11,160	11,142
Highway programs:			
Program development	23,674	27,660	23,143
Safety and system applications	90,064	121,865	52,628
Motor carrier safety	1,126	55,347	55,373
Federal lands highway office	1,317	1,321	1,318
Field operations	98,696	110,901	110,359
Total obligations	346,229	492,392	428,316
Financing:			
Reimbursable Programs	−3,840	−8,255	−9,355
Unobligated balance available, start of year	−9,526	−86,137	...
Unobligated balance available, end of year	86,137	...	...
Limitation	419,000	398,000	418,961
Relation of obligations to outlays:			
Obligations incurred, net	346,229	492,392	428,316
Obligated balance, start of year	372,937	454,854	579,734
Obligated balance, end of year	−454,854	−579,734	−594,183
Outlays from limitations	264,312	367,512	413,867

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Object Classification (in thousands of dollars)

	1992 Actual	1993 Estimate	1994 Estimate
Personnel compensation:			
11.1 Full–time permanent	124,438	155,613	154,032
11.3 Other than full–time permanent	4,199	4,347	4,303
11.5 Other personnel compensation	3,533	2,784	2,756
11.9 Total personnel compensation	132,170	162,744	161,091
12.1 Civilian personnel benefits	25,687	33,964	33,619
13.0 Benefits for former personnel	86	...	...
21.0 Travel and transportation of persons	9,494	14,497	14,888
22.0 Transportation of things	1,224	1,572	1,614
23.1 Rental payments to GSA	...	...	17,524
23.3 Communications, utilities and miscellaneous charges	5,883	7,162	7,355
24.0 Printing and reproduction	1,888	661	679
25.2 Other services	159,398	258,642	178,041
26.0 Supplies and materials	2,185	2,471	2,538
31.0 Equipment	8,117	10,679	10,967
42.0 Insurance claims and indemnities	96	...	...
93.0 Administrative expenses included in schedule as a whole	−346,228	−492,392	−428,316
99.0 Total obligations	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Personnel Summary

	1992 Actual	1993 Estimate	1994 Estimate
Total compensable workyears:			
Full–time equivalent employment	2,757	3,453	3,401
Full–time equivalent of overtime and holiday hours	17	19	19

INVESTMENT INITIATIVE

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing (in thousands of dollars)

	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
Safety and system applications operations, limitation	...	...	70,000
Relation of obligations to outlays:			
Total obligation	...	...	70,000
Obligated balance, start of year	...	...	...
Obligated balance, end of year	...	...	56,000
Outlays from limitation	...	...	14,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

For payment of obligations incurred in carrying out the provisions of section 402 of Public Law 97-424 [$65,000,000] *$68,000,000*, to be derived from the Highway Trust Fund and to remain available until expended: *Provided*, That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of $65,000,000 for "Motor Carrier Safety Grants," [of which not to exceed $3,000,000 shall be available for activities authorized by section 4008 of Public Law 102-240.]

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS
(dollars in thousands)

	FY 1993	FY 1994	CHANGE
Authorization	76,000	80,000	+4,000
Obligation Limit.	65,000	65,000	...
Liquid. Cash	65,000	68,000	+3,000

BACKGROUND

The Motor Carrier Safety Assistance Program (MCSAP) was established to fund State enforcement of Federal truck and bus safety requirements or compatible State safety requirements. The program provides grants to States for programs to reduce the number and severity of accidents involving commercial motor vehicles, including buses and trucks transporting hazardous materials. MCSAP also provides grant funds to the States to assist them in meeting the statutory deadline for joining base State agreements for fuel tax and registration.

Title IV of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) reauthorized the program, providing $479 million of new contract authority for fiscal years 1992 through 1997 as follows: FY 1992, $65 million; FY 1993, $76 million; FY 1994, $80 million; FY 1995, $83 million; FY 1996, $85 million; and $90 million in FY 1997. For FY 1993 $65 million of the authorized $76 million was appropriated for MCSAP funding.

FY 1994 PROGRAM OBJECTIVES

In FY 1994, a major goal of the FHWA is to implement the comprehensive motor carrier safety programs provided in the ISTEA through enhanced MCSAP grants to fund State motor carrier programs. In addition to continuing the roadside safety inspection programs and carrier reviews, the States and local agencies will continue training for inspectors, target impaired drivers for enforcement, conduct drug interdiction activities and conduct size and weight and traffic enforcement in conjunction with safety inspections.

The $65 million proposed obligation limitation for MCSAP in FY 1994 will provide basic safety grants to States and the ISTEA initiatives as directed by Congress. Funding of basic grants for the States to continue the roadside inspection program will remain essentially at current levels as well as State participation in compliance reviews of motor carriers.

Initiatives specifically included in the ISTEA and funded in FY 1994 include $4.25 million for traffic enforcement activities, $1 million to enforce Commercial Driver's License requirements, $1.5 million for training State MCSAP inspectors to enforce hazardous materials regulations, up to $1 million to implement the National Governor's Association recommendation for uniform report of truck and bus accident data, $500,000 for research and development and $350,000 for public education.

Title IV of the ISTEA requires that all States participate in the International Registration Plan (IRP) and International Fuel Tax Agreement (IFTA) by September 30, 1996. FHWA is continuing several initiatives to ensure uniformity among the States in fuel tax and registration requirements to significantly reduce the burden on the motor carrier industry. Grants are provided to States for expenses necessary to join the base state agreements. The ISTEA authorized the establishment of a working group of State and local government officials who must report in December 1993 with recommendations for improving IRP and IFTA. A feasibility study including State pilots of Commercial Vehicle Information System is also required. The information system will access safety fitness information on registrants when States register trucks and buses.

These uniformity grants will be funded from the $65 million obligation limitation along with $1.5 million for the Commercial Vehicle Information System. These initiatives are separate activities not funded as part of a State's basic MCSAP grants.

There are also several Congressionally-mandated laws and regulatory changes that are addressed through MCSAP. These new initiatives include: 1) enhanced hazardous material enforcement, especially cargo tanks and radioactive material laden vehicles (HMTUSA); 2) expansion of drug and alcohol testing rules to intrastate commercial motor carrier (1992 DOT Appropriations Act); 3) State reviews and training associated with the implementation of the Safe Food Transportation Act; and 4) integration of commercial motor vehicle drivers' data on traffic violations with the safety data on the driver's employing motor carrier.

FY 1994 Budget Request

The FHWA is requesting a $65 million MCSAP obligation limitation for FY 1994 equal to the enacted obligation limitation for FY 1993. In order to meet payments of MCSAP obligations, FHWA is also requesting a $68 million liquidation cash appropriation in FY 1994.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

DISTRIBUTION OF RESOURCES
(DOLLARS IN THOUSANDS)

	1993	1994
Basic Grants to States	$50,438	$51,088
Administrative Takedown	812	812
Funding Targets		
Traffic Enforcement (not less than)	4,250	4,250
CDL Enforcement (not less than)	1,000	1,000
Hazardous Materials Training (not less than)	1,500	1,500
Truck & Bus Accident Grants (not to exceed)	1,000	1,000
Research and Development (not less than)	500	500
Public Education (not less than)	350	350
Uniformity		
Uniformity Grants	2,500	3,000
Uniformity Working Group	500	... \1
Commercial Vehicle Info. Sys. (not to exceed)	1,500	1,500
Drug Initiatives		
Drug Interdiction Assistance Program	650	... \2
TOTAL	$65,000	$65,000
New authority	76,000	80,000
Unobligated balance	11,556	26,556

\1 The Base State Working Group is funded through June 1994 and anticipates a "no cost" extension of the National Governors' Association contract for staff support through the end of the FY.

\2 The Drug Interdiction Assistance Program is now an eligible activity under the basic grants. FHWA anticipates the States will continue the same level of training and activities within their basic allocation.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

For FY 1994 a liquidating cash appropriation of $68 million is requested to liquidate obligations incurred against contract authority. The following tables reflect outlays, liquidating cash, and available authority for this program.

OUTLAYS AND LIQUIDATING CASH	Amount (in thousands)
Cash balance 9/30/91	9,418
FY 1992 Liquidating Cash Appropriation	62,000
Less: FY 1992 outlays (actual)	−63,987
Cash balance 9/30/92 (actual)	7,431
FY 1993 Liquidating Cash Appropriation	65,000
Less: FY 1993 outlays (est.)	−65,135
Cash balance, 9/30/93 (est.)	7,296
FY 1994 Liquidating Cash Appropriation	68,000
Less: FY 1994 outlays (est.)	−65,784
Cash balance, 9/30/94	11,513

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

Program and Financing (in thousands of dollars)

Identification code: 69−8048−0−7−401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
00.01 Motor Carrier grants	64,149	64,187	64,187
00.02 Administration and research	813	813	813
10.00 Total obligations	64,962	65,000	65,000
Financing:			
Unobligated balance, start of year:			
21.49 Contract authority	−518	−556	−11,556
Unobligated balance, end of year:			
24.49 Contract authority	556	11,556	26,556
39.00 Budget authority	65,000	76,000	80,000
Budget authority:			
Current:			
40.00 Appropriation	62,000	65,000	68,000
40.49 Portion applied to liquidate contract authority	−62000	−65000	−68000
43.00 Appropriation (total)	...	...	...
Permanent:			
69.10 Contract authority (Public Law 99−570, 100 Stat. 3207,186, P.L. 102−240)	65,000	76,000	80,000
Relation of obligations to outlays:			
71.00 Total obligations	64,962	65,000	65,000
Obligated balance, start of year:			
72.40 Appropriation	9,418	7,431	7,296
72.49 Contract authority	28,760	31,721	31,721
Obligated balance, end of year:			
74.40 Appropriation	−7,431	−7,296	−11,513
74.49 Contract authority	−31,721	−31,721	−26,721
90.00 Outlays	63,987	65,135	65,784

Status of Contract Authority (in thousands of dollars)

Balance, start of year	29,316	32,316	43,316
Contract authority	65,000	76,000	80,000
Appropriation to liquidate contract authority	−62,000	−65,000	−68,000
Balance, end of year	32,316	43,316	55,316

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

Object Classification (in thousands of dollars)

Identification code: 69–8048–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
25.2 Other services	813	813	813
41.0 Grants, subsidies, and contributions	64,149	64,187	64,188
99.9 Total Obligations	64,962	65,000	65,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

(INCLUDING TRANSFER OF FUNDS)

For payment of obligations incurred in carrying out the provisions of title 23, United States Code, section 402 administered by the Federal Highway Administration, to remain available until expended, $10,000,000 to be derived from the Highway Trust Fund: *Provided*, That not to exceed [$200,000] *$100,000* of the amount appropriated herein shall be available for "Limitation on general operating expenses": *Provided further*, That none of the funds in this Act shall be available for the planning or execution of programs the obligations for which are in excess of $10,000,000 in fiscal year [1993] *1994* for "Highway-Related Safety Grants".

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS

	(Dollars in Thousands) FY 1993	 FY 1994	 CHANGE
Contract Authorization	20,000	20,000	0
Obligation Limitation	10,000	10,000	0
Liquidating Cash Appropriation	10,000	10,000	0

Background

Section 402 of Title 23 authorizes funds to assist States, localities, Indian Tribes, and the Territories of American Samoa, Guam, the Virgin Islands, and the Northern Marianas in implementing highway safety programs. Rule making in 1988 identified seven priority program areas as the most effective for Federal funding under Section 402. An additional priority program area involving pedestrian and bicycle safety was added in 1991. The most effective FHWA program areas are "Roadway Safety" (principally covering activities directly supporting the selection and implementation of highway safety construction and traffic operational improvements) and "Pedestrian/Bicycle Safety" (a jointly funded priority program area with NHTSA).

The program is intended to strengthen State and local highway safety programs, and to help guide and finance additional action at the State and local levels. The Federal role is to provide leadership, guidance, and financial aid to assist State and local governments in initiating new highway safety activities and improving on-going safety programs. Emphasis is placed on activities to help State and local highway agencies develop and implement systems and procedures for planning and carrying out safety construction and operational improvements and programs involving pedestrian and bicycle safety.

The highway-related FHWA portion of the Section 402 program serves as a significant planning resource and catalyst for State and local safety efforts. Funded activities such as improved safety data collection and programming systems, special problem studies and analyses, training and technical guides, and equipment advances have done much to improve roadway safety problem identification and countermeasure selection. In the process, interaction with vehicle and driver-related safety programs have been improved and a needed emphasis given local problems such as traffic operations, pedestrians, and bicycle safety.

In order to meet payments of obligations, FHWA is requesting a liquidating cash appropriation in the amount of $10 million for FY 1994, the same amount that was requested last year.

FY 1994 Program Objectives

As in the past, these funds may be used to conduct highway safety programs designed to reduce accidents, deaths, and injuries including development and implementation of manpower training programs and projects. These funds will be administered by the designated State highway safety agency.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY–RELATED SAFETY GRANTS
APPROPRIATION REQUEST

For FY 1994 a liquidating cash appropriation request of $10 million is submitted to liquidate obligations incurred under contract authority. The following tables reflect outlays, liquidating cash, and available authority for this program.

OUTLAYS AND LIQUIDATING CASH	Amount (in thousands)
Cash balance 9/30/91	979
FY 1992 Appropriation	20,000
Less: FY 1992 outlays (actual)	−9,899
Cash balance 9/30/92 (actual)	11,080
FY 1993 Appropriation	10,000
Less: FY 1993 outlays (est.)	−7,331
Cash balance, 9/30/93 (est.)	13,749
FY 1994 Appropriation	10,000
Less: FY 1994 outlays (est.)	−9,187
Cash balance, 9/30/94	14,562

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY–RELATED SAFETY GRANTS
APPROPRIATION REQUEST

STATUS OF UNFUNDED AUTHORITY

	Amount (in thousands)
Unfunded 9/30/91	14,385
FY 1992 Authority	17,000
1992 liquidating cash appropriation	–20,000
Unfunded 9/30/92 (est.)	11,385
FY 1993 Authority	20,000
Liquidating cash appropriation	–10,000
Unfunded 9/30/93 (est.)	21,385
FY 1994 Authority	20,000
Liquidating cash apppropriation	–10,000
Unfunded 9/30/94	31,385

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY–RELATED SAFETY GRANTS

Program and Financing (in thousands of dollars)

Identification code: 69–8019–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Program by Activities:			
00.01 State and Community grants	9,244	9,900	9,900
00.02 Administration of grant programs	93	100	100
10.00 Total obligations	9,337	10,000	10,000
Financing:			
21.49 Unobligated balance available, start of year: Contract authority	–1,673	–9,336	–19,336
24.49 Unobligated balance available, end of year: Contract authority	9,336	19,336	29,336
39.00 Budget authority	17,000	20,000	20,000
Budget Authority:			
Current:			
40.00 Appropriation	20,000	10,000	10,000
40.49 Portion applied to liquidate contract authority	–20,000	–10,000	–10,000
43.00 Appropriation total	...	...	...
Permanent:			
69.10 Contract Authority(90 Stat. 451 92 Stat. 2727, 105 Stat. 1914)	17,000	20,000	20,000
Relation of obligations to outlays:			
71.00 Total obligations	9,337	10,000	10,000
Obligated balance, start of year:			
72.40 Appropriation	979	11,080	13,749
72.49 Contract authority	12,712	2,049	2,049
Obligated balance, end of year:			
74.40 Appropriation	–11,080	–13,749	–14,562
74.49 Contract authority	–2,049	–2,049	–2,049
90.00 Outlays	9,899	7,331	9,187

Status of Contract Authority (in thousands of dollars)

Identification code: 69–8019–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Unfunded balance, start of year	14,385	11,385	21,385
Contract authority	17,000	20,000	20,000
Appropriation to liquidate contract authority	–20,000	–10,000	–10,000
Unfunded balance, end of year	11,385	21,385	31,385

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRTION

HIGHWAY–RELATED SAFETY GRANTS

Object Classification (in thousands of dollars)

Identification code: 69–8019–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
25.2 Other services	93	100	100
41.0 Grants, subsidies, and contributions	9,244	9,900	9,900
99.9 Total Obligations	9,337	10,000	10,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

(LIMITATION ON DIRECT LOANS AND LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

During fiscal year [1993] *1994* and with the resources and authority available, gross obligations for the principal amount of direct loans shall not exceed $42,500,000.

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND
(dollars in thousands)

	FY 93 Actual	FY 94 Request	Change
Loan Limitation	$42,500	$42,500	$0

The Federal-Aid Highway Act of 1968 authorized $300 million for the establishment of a right-of-way revolving fund. This fund is used to make cash advances to States to purchase critical right-of-way parcels in rapidly developing corridors in sufficient time before developmental pressures escalate the cost of land to a point that can jeopardize the feasibility of actually constructing the highway.

Increasingly, States are also using the revolving fund as a tool to help environmentally sensitive areas by targeting specific parcels for acquisition in future transportation corridors that have been identified through a transportation land use planning process.

We are requesting a Right-of-Way Revolving Fund obligational limitation of $42.5 million.

The following table indicates the high level of activity for the past 2 years and the constraints placed on the Revolving Fund through obligational restrictions:

FY	Total Requests	Projected Savings	Loan Limitation
93	$132,061,000	$136,000,000	$42,500,000
92	234,000,000	502,000,000	42,500,000

The above table reveals the strong demand for the use of revolving funds while at the same time there are few funds available for distribution. It is anticipated that with the addition of the "corridor preservation program," the demands of the revolving fund should increase appreciably.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

STATUS OF OUTLAYS AND LIQUIDATING CASH

(Dollars in thousands)

Unexpended appropriation balance, 9/30/91	$ 76,658
Less: FY 1991 outlays	-19,944
Balance available for FY 1993.	130,537
Less: FY 1993 outlays (est.).	0
Balance available for FY 1994 (est.) . .	130,537
Less: FY 1994 outlays (est.).	0
Unexpended appropriate balance, 9/30/94. . (estimated)	$130,537

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT–OF–WAY REVOLVING FUND

Program and Financing (in thousands of dollars)

Identification code: 69–8402–0–8–401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
10.00 Total obligations (object class 33.0)	54,758	42,500	42,500
Financing:			
17.00 Recovery of prior year obligations	−31,818	...	...
Unobligated balance available, start of year:			
21.40 Appropriation	−73,823	−103,954	−103,954
21.49 Contract authority	−40,000		...
Unobligated balance available, end of year:			
24.40 Appropriation	103,954	103,954	103,954
24.49 Contract authority	40,000	...	...
39.00 Budget authority (gross)	13,071	42,500	42,500
Budget authority:			
Current:			
40.00 Appropriation	40,000	...	...
40.49 Portion applied to liquidate contract authority	−40,000	...	...
43.00 Appropriation (total)	...	...	...
Permanent:			
68.00 Spending authority from offsetting collections (new)	13,071	42,500	42,500
Relation of obligations to outlays:			
71.00 Total obligations	54,758	42,500	42,500
72.40 Obligated balance, start of year: Appropriation	76,658	66,584	66,584
74.40 Obligated balance, end of year: Appropriation	−66,584	−66,584	−66,584
78.00 Adjustments in unexpired accounts	−31,818	...	...
87.00 Outlays (gross)	33,015	42,500	42,500
Adjustments to budget authority and outlays:			
88.40 Deductions from offsetting collections: Non–Federal sources	−13,071	−42,500	−42,500
89.00 Budget authority (net)	...	...	...
90.00 Outlays (net)	19,944	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

Status of Direct Loans (in thousands of dollars)

Identification code: 69-8402-0-8-401	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
Position with respect to appropriations act limitation on obligations:			
1111 Limitation on direct loans	41,688	42,500	42,500
1150 Total direct loan obligations	41,688	42,500	42,500
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year	109,518	129,462	129,462
1231 Disbursements: Direct loan disbursements	33,015	42,500	42,500
1251 Repayments: Repayments and prepayments	−13,071	−42,500	−42,500
1290 Outstanding, end of year	129,462	129,462	129,462

Status of Contract Authority (in thousands of dollars)

Unfunded balance, start of year	40,000	...	...
Appropriation to liquidate contract authority	−40,000	...	...
Unfunded balance, end of year	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[MISCELLANEOUS APPROPRIATIONS]

[RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS]

[For necessary expenses of certain railroad-highway crossings demonstration projects as authorized by section 163 of the Federal-Aid Highway Act of 1973, as amended, to remain available until expended, $3,664,000, of which $2,442,667 shall be derived from the Highway Trust Fund.]

[BALTIMORE-WASHINGTON PARKWAY]

[For necessary expenses, not otherwise provided, to carry out the provisions of the Federal-Aid Highway Act of 1970 and section 1069 of Public Law 102-240 for the Baltimore-Washington Parkway, to remain available until expended, $15,000,000.]

[HIGHWAY WIDENING DEMONSTRATION PROJECT]

[For necessary expenses to carry out a demonstration project to improve U.S. Route 202 in the vicinity of King of Prussia, Pennsylvania, as authorized by Public Law 100-202, $640,000, to remain available until expended.]

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

GENERAL STATEMENT

This miscellaneous account contains appropriations derived from general funds for which no new budget authority is requested in FY 1994. Obligations and outlays result from prior year appropriations. We understand the Congress may find offsetting savings to preserve these initiatives.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Program by Activities:			
00.01 PA reconstruction demonstration	9,573	1,780	1,780
00.03 Highway beautification	61	55	55
00.04 Rail line consolidation	20	1,000	1,000
00.05 PA toll road demonstration	6,381	...	...
00.06 Interstate transfer grants	4,981	3,396	3,396
00.07 Highway widening demonstration	1,184	2,543	1,903
00.08 Baltimore–Washington parkway	...	15,000	...
00.09 Bridge improvement demonstration project	6,950	1,457	1,457
00.10 Feasibility, design, enviromental and engineering	5,718	4,493	4,493
00.11 Highway widening and improvement	3,992	5,357	5,357
00.12 Intersection safety demonstration	...	1,020	1,020
00.13 Highway capacity improvement	1,987	...	...
00.14 Climbing lane demonstration	76	5,189	5,189
00.15 Indiana industrial corridor	274	2,189	2,189
00.16 Corridor H	37,433	10,378	10,378
00.17 Oklahoma highway widening	1,239	416	416
00.18 Alabama highway bypass	2,560	7,507	7,507
00.19 Kentucky Bridge demonstration	15,326	...	...
00.20 Virginia HOV	3,344	685	685
00.21 Urban highway corridor	7,129	5,073	5,073
00.22 Urban airport access	2,886	5,908	5,908
00.23 Rail crossings demonstration projects	...	6	6
00.24 Highway demonstration projects	77,158	76,231	76,231
00.25 Highway safety improvement demonstration projects	350	5,333	5,333
00.26 Corridor D improvement project	1,239	2,920	2,920
00.27 Bypass construction project	8,546	1,390	1,390
00.28 Road extension demonstration	10,565	75	75
00.29 Expressway safety improvement	...	867	867
00.30 Highway demonstration projects – Preliminary Engineering	8,506	5,063	5,063
00.31 Turquoise trail project	5,361	674	674
00.32 Corridor G improvement project	49,353	45,171	45,171
00.33 North Carolina connector project	200	1,533	1,533
00.34 Manhattan bridge replacement	...	819	819
00.35 Junction city highway project	381	...	...
00.36 Corning bypass safety project	12,652	12,296	12,296
00.37 Access to public lakes	795	350	350
00.38 Trade enhancement	100	3,508	3,508
00.39 Ottumwa Road	...	5,233	5,233

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Program by Activities (Continued):			
00.40 Iowa connector	79	470	470
00.41 Highway 20 realignment	...	586	586
00.42 Ramp relocation and reconstruction	...	3,400	3,400
00.43 U.S. 54 Interchange	...	3,088	3,088
00.44 Des Moines Inner Loop	...	931	931
00.45 High bypass demonstration	...	3,000	3,000
00.46 Railroad highway crossing demonstration	4,525	5,211	3,989
10.00 Total Obligations (object class 41.0)	290,925	251,600	234,738

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Financing:			
17.00 Recovery of prior year obligations	−111	...	...
21.40 Unobligated balance available, start of year	−443,710	−704,215	−469,476
24.40 Unobligated balance available, end of year	704,215	469,476	234,738
25.00 Unobligated balance expiring	32	...	...
39.00 Budget authority	551,351	16,861	...
40.00 Appropriation	540,726	16,861	
50.00 Reappropriation	10,625		
Relation of obligations to outlays:			
71.00 Total obligations	290,925	251,600	234,738
72.40 Obligated balance, start of year:	184,238	359,155	416,772
74.40 Obligated balance, end of year	−359,155	−416,772	−416,305
77.00 Adjustments in expired accounts	−893	...	...
78.00 Adjustments in unexpired accounts	−111	...	...
90.00 Outlays	115,004	193,982	235,206

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Distribution of Budget Authority by account:			
PA reconstruction demonstration project	8,100	...	...
PA toll road demonstration project	1,800	...	...
Highway widening demonstration	1,800	640	...
Baltimore–Washington Parkway	...	15,000	...
Feasibility, design, enviromental and engineering	19,198	...	...
Highway widening and improvement demonstration	7,200	...	...
Climbing lane demonstration	6,300	...	...
Indiana industrial corridor	3,600	...	...
Alabama highway bypass	9,000	...	...
Kentucky bridge demonstration	4,500	...	...
Virginia HOV safety demonstration	5,400	...	...
Urban highway corridor demonstration	10,530	...	...
Urban airport access demonstration	9,000	...	...
Highway demonstration projects	249,146	...	...
Highway safety improvement demo. proj	16,350	...	...
Turquoise trail project	2,700	...	...
Corridor G improvement project	148,500	...	...
North Carolina Connector Project	4,800	...	...
Corning bypass safety project	12,600	...	...
Trade enhancement demonstration project	10,625	...	...
Ottumwa Road extension project	7,200	...	...
Highway Bypass Demonstration	9,000	...	...
Railroad–Highway crossing demonstration	4,002	1,221	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Distribution of outlays by account:			
PA reconstruction demonstration project	6,988	4,850	4,296
Territorial Highway Program	639	953	715
Highway beautification	315	458	364
Rail–line consolidation	90	403	672
PA toll road demonstration	12	2,755	2,066
Interstate transfer grants	14,361	9,790	8,599
Highway widening demonstration	167	1,578	1,997
Baltimore–Washington Parkway	...	3,000	4,800
Bridge improvement demonstration	1,541	2,758	2,607
Feasibility, design, enviromental, and engineering	490	2,990	3,905
Highway widening and improvement demonstration	891	3,087	4,298
Intersection safety demonstration	67	350	640
Highway capacity improvement	8	850	637
Climbing lane demonstration	2,472	1,426	2,989
Indiana industrial corridor	344	1,089	1,627
Corridor H improvement project	13,494	15,765	15,664
Oklahoma highway widening	39	703	681
Alabama highway bypass	1,016	3,541	5,433
Kentucky Bridge demonstration	3,362	4,786	3,589
Virginia HOV safety demonstration	9,333	2,083	1,816
Urban highway corridor demonstration	944	4,208	5,033
Urban airport access demonstration	2,237	2,561	4,107
Rail–crossing demonstration projects	−301	195	149
Highway demonstration projects	12,837	46,269	62,907
Hwy safety improvement demonstration project	63	1,181	2,859
Corridor D improvement project	...	1,080	1,890
Bypass construction project	13,010	10,376	8,296
Road extension demonstration	183	4,315	3,264
Expressway safety improvement	...	173	451
Highway demo. projects – preliminary engineering	12,395	10,713	9,908
Turquoise trail project	37	2,264	1,948
Corridor G improvement	2,527	28,368	37,989
North Carolina connector project	37	372	846
Manhattan bridge replacement	104	298	526
Junction city highway project	...	153	114
Corning bypass safety project	2,698	6,441	9,380
Access to public lakes	720	491	497
Trade enhancement demonstration project	...	742	1,854

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69–9911–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Distribution of outlays by account (Continued):			
Ottumwa road extension project	...	1,047	2,721
Iowa connector project	60	101	250
Highway 20 realignment project	428	263	414
Ramp relocation and reconstruction	...	680	1,768
U.S. 54 interchange project	...	618	1,606
Des Moines inner loop	...	186	484
Hwy. bypass demonstration	42	600	1,560
Railroad–Highway crossing demonstration	5,755	4,113	4,768
Ebensburg bypass demonstration	95	7	6
Alabama feasibility study	185	11	8
Inter–American Highway	...	33	25
Highway safety separation demonstration	147	216	162
Reservation road	14	37	27
Traffic improvement demonstration	132	50	37
Spring Mountain demonstration	−345	345	258
Public lands	...	2	2
Alaska highway	8	99	74
Auto pedestrian separation demonstration	191	...	...
Off–system roads	−41	27	20
Bikeway demo. program	...	10	8
Darien Gap	...	815	611
Safer–off system roads	−23	...	...
Waste isolation project	742	777	583
Expressway gap closing	275	507	380
Rail–Highway crossing, off–system	−195	...	...
Bridge restoration	1,506	3	3
Bicycle program	−44	...	...
International Zaragosa Bridge	2,950	20	15

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

[INTERMODAL URBAN DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For necessary expenses to carry out the provisions of section 124 of the Federal-Aid Highway Amendments of 1974, $3,200,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[HIGHWAY SAFETY AND ECONOMIC DEVELOPMENT DEMONSTRATION PROJECTS]
[(HIGHWAY TRUST FUND)]

[For necessary expense to carry out construction projects as authorized by Public Law 99-500 and Public Law 99-591, $6,400,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[HIGHWAY SAFETY IMPROVEMENT DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For the purpose of carrying out a coordinated project of highway improvements in the vicinity of Pontiac and East Lansing, Michigan, that demonstrates methods of enhancing safety and promoting economic development, $6,000,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[HIGHWAY WIDENING AND IMPROVEMENT DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For up to 80 percent of the expenses necessary to carry out a highway project between Paintsville and Prestonburg, Kentucky, that demonstrates the safety and economic benefits of widening and improving highways in mountainous areas, $1,344,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[CLIMBING LANE AND HIGHWAY SAFETY DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to carry out a highway project on U.S. Route 15 in the vicinity of Tioga County, Pennsylvania, for the purpose of demonstrating methods of improved highway and highway safety construction, $3,840,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[ALABAMA HIGHWAY BYPASS DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary for the construction of a highway bypass project in the vicinity of Jasper, Alabama, for the purpose of demonstrating methods of improved highway and highway safety construction, $3,200,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[KENTUCKY BRIDGE DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to replace the Glover Cary Bridge in Owensboro, Kentucky, for the purpose of demonstrating methods of improved highway and highway safety construction, $6,400,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[VIRGINIA HOV SAFETY DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to construct High Occupancy Vehicle lanes on Interstate Route 66 between U.S. Route 50 and U.S. Route 29, including the construction of an interchange at Interstate Route 66 and the route 234 Manassas bypass for the purpose of demonstrating methods of increasing highway capacity and safety by the use of highway shoulders to construct HOV lanes, $1,600,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[URBAN HIGHWAY CORRIDOR AND BICYCLE TRANSPORTATION DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to improve and upgrade the M-59 urban highway corridor in southeast Michigan for the purpose of demonstrating methods of improving congested urban corridors that have been neglected during construction of the Interstate system, $3,088,000, to be derived from the Highway Trust Fund and to remain available until expended, together with $304,000, to be derived from the Highway Trust Fund and to remain available unitl expended, to provide for 80 percent of the expenses necessary for a bicycle transportation demonstration project in Macomb County, Michigan.]

[URBAN AIRPORT ACCESS SAFETY DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to improve and upgrade access to Detroit Metropolitan Airport in southeast Michigan, $3,840,000, to be derived from the Highway Trust Fund and to remain available until expended, for the purpose of demonstrating methods of improving access to major urban airports.]

[PENNSYLVANIA RECONSTRUCTION DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For 80 percent of the expenses necessary to upgrade, widen, and reconstruct the sections of Pennsylvania Route 56 known as Haws Pike and the Windber By-Pass, for the purpose of demonstrating methods of promoting economic development and highway safety, $6,400,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[PENNSYLVANIA TOLL ROAD DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For necessary expenses for the Monongahela Valley Expressway, $3,200,000, to be derived from the Highway Trust Fund and to remain available until expended: *Provided*, That these funds, together with funds made available from the Highway Trust Fund, for Federal participation in the toll highway project being carried out under section 129(j) of title 23, United States Code, in the State of Pennsylvania shall be subject to section 129(j) of such title, relating to Federal share limitation.]

[HIGHWAY PROJECTS]
[(HIGHWAY TRUST FUND)]

[For up to 80 percent of the expenses necessary for certain highway and bicycle transportation projects and parking facilities, including feasibility and environmental studies, that demonstrate methods of improving safety, reducing congestion, or promoting economic development, $273,756,000, to be derived from the Highway Trust Fund and to remain available until expended.]

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

GENERAL STATEMENT

This miscellaneous account contains appropriations derived from the Highway Trust Fund for which no new budget authority is requested in FY 1994. Obligations and outlays result from prior year appropriations. We understand the Congress may find offsetting savings to preserve these initiatives.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69−9972−0−7−401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
00.01 Carpool/vanpool projects	...	39	39
00.02 Intermodal urban demonstration project	2,287	17,425	14,225
00.03 Highway safety and economic development demonstration projects	27,137	17,516	11,116
00.04 Highway safety improvement demonstration project	7,487	6,204	204
00.05 Highway−railroad grade crossing safety demonstration project	205	8,401	8,401
00.07 Highway demonstration project	...	1,543	1,543
00.08 Bridge capacity improvement	22	2,602	2,602
00.09 Overseas highway	1,896	...	...
00.10 Vehicular highway safety separation demonstration	686	3,622	3,622
00.11 Corridor safety demonstration	...	10,200	10,200
00.12 Highway widening and improvement demonstration	...	1,344	...
00.13 Climbing lane and safety demonstration project	...	3,840	...
00.14 Alabama highway bypass demonstration project	...	3,200	...
00.15 Kentucky bridge demonstration project	...	6,400	...
00.16 Virginia HOV safety demonstration project	...	1,600	...
00.17 Urban highway corridor bicycle study	...	3,392	...
00.18 Urban airport access safety demonstration	...	3,840	...
00.19 Pennsylvania reconstruction demonstration project	...	6,400	...
00.20 Pennsylvania toll road demonstration project	...	3,200	...
00.21 Baltimore−Washington parkway	25,546	1,299	1,299
00.22 Trust fund share of other highway programs	17,956	7,358	4,915
00.23 Highway Safety research and development	...	15	15
00.24 University transportation centers	5,000	...	...
00.25 Metropolitan planning	...	1,000	1,000
00.26 Highway projects	...	273,756	...
10.00 Total obligations (object class 41.0)	88,222	384,196	59,181

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69–9972–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Financing:			
17.00 Recovery of prior year obligations	−44	...	...
21.40 Unobligated balance available, start of year	−196,900	−177,544	−118,363
24.40 Unobligated balance available, end of year	177,544	118,363	59,181
25.00 Unobligated balance expiring	282		
40.00 Budget authority (appropriation)	69,103	325,015	...
Relation of obligations to outlays:			
71.00 Total obligations	88,222	384,196	59,181
72.40 Obligated balance, start of year	107,281	142,260	392,713
74.40 Obligated balance, end of year	−142,260	−392,713	−274,437
77.00 Adjustments in expired accounts	−4	...	...
78.00 Adjustments in unexpired accounts	−44	...	...
90.00 Outlays	53,194	133,743	177,457

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69–9972–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Distribution of budget authority by account:			
Intermodal Urban Demonstration Project	9,000	3,200	...
Highway Safety and Economic Development	19,800	6,400	...
Highway Safety Improvement Demonstration	..	6,000	...
Highway Railroad Grade Crossing Safety	4,500	..	...
Highway Widening and Improvement Demonstration	...	1,344	...
Climbing Lane and Safety Demonstration Project	..	3,840	...
Alabama Highway Bypass Demonstration Project	..	3,200	...
Kentucky Bridge Demonstration Project	..	6,400	...
Virginia HOV Safety Demontration Project	..	1,600	...
Urban Highway Corridor Bicycle Study	..	3,392	...
Urban Airport Access Safety Demonstration Project	..	3,840	...
Pennsylvania Reconstruction Demonstration Project	..	6,400	...
Pennsylvania Toll Road Demonstration Project	..	3,200	...
Baltimore–Washington Parkway	19,800	..	...
Trust Fund Share of Other Highway Programs	8,003	2,443	.
University Transportation Centers	5,000	..	.
Metropolitan Planning	3,000	..	...
Highway Projects	..	273,756	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69–9972–0–7–401	1992 Actual	1993 Estimate	1994 Estimate
Distribution of outlays by account:			
Carpool/Vanpool Projects	47	30	36
Intermodal Urban Demonstration Project	402	5,686	10,072
Highway Safety and Economic Development	8,536	12,037	14,229
Highway Safety Improvement Demonstration	5,492	4,702	4,622
Highway Railroad Grade Crossing Safety	1,594	6,784	8,197
Highway Demonstration Projects	...	309	802
Bridge Capacity Improvement Demonstration	52	522	1,354
Overseas Highway	2,706	8	6
Vehicular Highway Safety Improvement Separation Demonstration	..	999	2,089
Corridor Safety Demonstration	1,078	8,496	10,146
Highway Widening and Improvement Demonstration	..	269	430
Climbing Lane and Safety Demonstration Project	..	768	1,229
Alabama Highway Bypass Demonstration Project	..	640	1,024
Kentucky Bridge Demonstration Project	..	1,280	2,048
Virginia HOV Safety Demontration Project	..	320	512
Urban Highway Corridor Bicycle Study	..	678	1,085
Urban Airport Access Safety Demonstration	..	768	1,229
Pennsylvania Reconstruction Demonstration Project	..	1,280	2,048
Pennsylvania Toll Road Demonstration Project	..	640	1,024
Baltimore–Washington Parkway	13,863	13,609	10,688
Trust Fund Share of Other Highway Programs	11,322	11,895	11,155
Highway Safety Research and Development	4,154	2,140	1,610
University Transportation Centers	3,459	4,085	3,063
Metropolitan Planning	..	200	520
Highway Projects	..	54,751	87,602
Nuclear Waste Transportation Safety	..	46	35
Airport Access Demonstration	486	616	462
Acceleration of Projects	2	187	140

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ORANGE COUNTY (CA) TOLL ROAD DEMONSTRATION PROJECT

GENERAL STATEMENT

Appropriations language for this project is contained in Title III-General Provisions, Sec. 339 of the Department of Transportation and Related Agencies Appropriations Act, 1993. No new appropriations are requested for FY 1994.

BACKGROUND

The Congress appropriated $9.6 million in FY 1993 to cover the estimated subsidy costs of making a direct loan (or loans) not to exceed $120 million to the Transportation Corridor Agencies (TCA) of Orange County, CA, to assist in financing the San Joaquin Hills public toll road. Any such loan (or loans) will be available for five years only upon completion of the toll road and only to the extent that revenues from toll operations and standard reserves are insufficient for debt service. The appropriations language also stipulates that: 1) no more than 20 percent of the total loan amount may be disbursed in any one year of operation; 2) any such loan (or loans) shall draw interest at the 30-year United States Treasury Bond rate on the date of disbursal; and 3) any loan (or loans) shall be repaid in not more than 30 years.

As required by the Federal Credit Reform Act of 1990, program and financing accounts have been established to record estimated subsidy costs and cash flows arising from direct loan obligations for the Orange County toll road. A financial analysis performed for FHWA indicates that the $9.6 million appropriated in FY 1993 should be adequate to cover any unreimbursed costs to the Federal government associated with making loans up to $120 million for the Orange County toll road (implying an eight percent subsidy rate).

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ORANGE COUNTY (CA) TOLL ROAD DEMONSTRATION PROJECT
(Program Account)

Program and Financing (in thousands of dollars)

Identification code: 69–0543–0–1–401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
10.00 Total obligations (object class 41.00)	...	9,600	...
Financing:			
40.00 Budget authority (appropriation)	...	9,600	...
Relation of obligations to outlays:			
71.00 Total obligations	...	9,600	...
72.40 Obligated balance, start of year	...	...	9,600
74.40 Obligated balance, end of year	...	−9,600	−9,600
90.00 Outlays	...	...	...

Summary of Loan Levels, Subsidy Budget Authority, and Outlays (in thousands of dollars)

Direct loan levels supportable by subsidy BA:			
11.59 Total direct loan levels	...	120,000	...
Direct loan subsidy rates (in percent):			
13.20 Toll road loan(s)	...	8.00	...
13.29 Weighted average subsidy rate	...	8.00	...
Direct loan subsidy budget authority:			
13.30 Toll road loan(s)	...	9,600	...
13.39 Total subsidy budget authority	...	9,600	...
Direct loan subsidy outlays:			
13.49 Total subsidy outlays	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ORANGE COUNTY (CA) TOLL ROAD DEMONSTRATION PROJECT
(Financing Account)

Program and Financing (in thousands of dollars)

Identification code: 69–4200–0–3–401	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
10.00 Total obligations (object class 33.00)	...	120,000	...
Financing:			
39.00 Financing authority (gross)	...	120,000	...
Financing Authority (permanent):			
67.15 Authority to borrow (indefinite)	...	110,400	...
68.00 Spending authority from offsetting collections	...	9,600	...
Relation of obligations to outlays:			
71.00 Total obligations	...	120,000	...
72.10 Receivables in excess of obligations, start of year	...	...	−9,600
72.40 Obligated balance, start of year	...	...	120,000
74.10 Receivables in excess of obligations, end of year	...	9,600	9,600
74.40 Obligated balance, end of year	...	−120,000	−120,000
87.00 Financing disbursements (gross)	...	9,600	...
Adjustments to financing authority and outlays: Deductions for offsetting collections:			
88.00 Federal sources: Payments from program account	...	−9,600	...
89.00 Financing authority (net)	...	110,400	...
90.00 Financing disbursements (net)	...	...	...

Status of Direct Loans (in thousands of dollars)

Position with respect to appropriations act limitation on obligations:			
11.11 Limitation on direct loans	...	120,000	...
11.50 Total direct loan obligations	...	120,000	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

ORANGE COUNTY (CA) TOLL ROAD DEMONSTRATION PROJECT
(Financing Account)

Statement of Financial Condition (in thousands of dollars)

Identification code: 69–4200–0–3–401	1992 Actual	1993 Estimate	1994 Estimate
ASSETS			
Accounts receivable:			
11.00 Federal agencies (program account)	...	9,600	9,600
19.99 Total assets	...	9,600	9,600
EQUITY			
Appropriated fund equity:			
32.00 Appropriated capital	...	9,600	9,600
39.99 Total equity	...	9,600	9,600

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Funds received by this account come completely from non-Federal sources. FHWA holds these funds in trust until they are outlayed. The following programs are included in this fund:

1. Cooperative Work Forest Highways (Proprietary Receipts). Contributions are received from States and counties in connection with cooperative engineering, survey, maintenance and construction projects for Forest Highways. The FY 1994 estimate is $1,500,000.

2. Technical assistance, U.S. dollars advanced from foreign governments (Proprietary Receipts). The Federal Highway Administration renders technical assistance and acts as agent for the purchase of equipment and materials for carrying out highway programs in foreign countries. For FY 1992, these services were rendered in China and Barbados. The FY 1994 estimate is $800,000.

3. Contributions for highway research programs (Governmental Receipts. In association with the General Services Administration and the Department of Defense, tests of highway equipment are conducted for the purpose of establishing performance standards upon which to base specifications for use by the Government in purchasing such equipment. The FY 1994 estimate is $30,000.

4. Advances from state cooperating agencies (Proprietary Receipts). Funds are contributed by the state highway departments or local subdivisions thereof for construction and/or maintenance of roads or bridges. The work is performed under the supervision of the Federal Highway Administration. The FY 1994 estimate is $25,000,000.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69–9971–0–7–151	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
00.01 Cooperative work, forest highways	682	2,717	1,500
00.02 Technical assistance, U.S. dollars advanced from foreign governments	17	1,090	800
00.03 Contributions for highway research programs	...	91	30
00.04 Advances from State cooperating agencies	3,009	52,977	25,000
10.00 Total obligations	3,709	56,875	27,330
Financing:			
17.00 Recovery of prior year obligations	−917	...	...
Unobligated balance available, start of year:			
21.40 Appropriation	−4,248	−29,545	...
Unobligated balance available, end of year:			
24.40 Appropriation	29,545	...	...
39.00 Budget authority	28,088	27,330	27,330
Budget Authority:			
Permanent:			
60.05 Appropriation (indefinite)	28,088	27,330	27,330

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69–9971–0–7–151	1992 Actual	1993 Estimate	1994 Estimate
Relation of obligations to outlays:			
71.00 Total obligations	3,709	56,875	27,330
72.40 Obligated balance, start of year: Appropriation	24,522	6,961	9,864
74.40 Obligated balance, end of year: Appropriation	−6,961	−9,864	−4,821
78.00 Adjustments in unexpired accounts	−917	...	...
90.00 Outlays	20,353	53,972	32,373
Distribution of budget authority by account:			
Cooperative work, forest highways	1,478	1,500	1,500
Technical assistance, U.S. dollars advanced from foreign governments	184	800	800
Contributions for highway research programs	18	30	30
Advances from State cooperating agencies	26,408	25,000	25,000
Distribution of outlays by account:			
Cooperative work, forest highways	646	2,562	1,709
Equipment, supplies, etc., for cooperating countries	−4	310	233
Technical assistance, U.S. dollars advanced from foreign governments	53	990	836
Contributions for highway research programs	...	88	41
Advances from State cooperating agencies	19,658	50,021	29,554

Status of Contract Authority (in thousands of dollars)

Unfunded balance, start of year	6,176	954	...
Contract authority	240	...	...
Appropriation to liquidate contract authority	−5,462	−954	...
Unfunded balance, end of year	954	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Object Classification (in thousands of dollars)

Identification code: 69–9971–0–7–151	1992 Actual	1993 Estimate	1994 Estimate
Personnel compensation:			
11.1 Full–time permanent	11	514	514
11.5 Other personnel compensation	3	50	50
11.9 Total personnel compensation	14	564	564
12.1 Civilian personnel benefits	2	98	98
21.0 Travel and transportation of persons	3	30	30
22.0 Transportation of things	1	20	20
24.0 Printing and reproduction	...	50	50
25.2 Other services	14	700	700
26.0 Supplies and materials	...	18	18
32.0 Land and structures	3,675	55,395	25,850
99.9 Total obligations	3,709	56,875	27,330

Personnel Summary

Total compensable workyears: Full–time equivalent employment	...	14	14

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

GENERAL STATEMENT

For 1994 the budget proposes to finance motor carrier safety as a drawdown from Federal-Aid Highways, and this program will be included within the Limitation on General Operating Expenses.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

Identification code: 69–0552–0–1–402	1992 Actual	1993 Estimate	1994 Estimate
Program by activities:			
00.01 Operations	44,017	...	...
00.02 Research and development	3,526	81	81
10.00 Total obligations	47,543	81	...
Financing:			
21.40 Unobligated balance available, start of year	−28	−81	...
24.40 Unobligated balance available, end of year	81	...	...
25.00 Unobligated balance lapsing	4	...	...
40.00 Budget authority (authority)	46,700	...	...
Budget authority:Relation of obligations to outlays:			
71.00 Total obligations	47,543	81	...
72.40 Obligated balance, start of year	12,320	11,702	3,791
74.40 Obligated balance, end of year	−11702	−3791	−2382
77.00 Adjustments in expired accounts	−747	...	...
90.00 Outlays	47,414	7,993	1,409

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

Object Classification (in thousands of dollars)

Identification code: 69–0552–0–1–402	1992 Actual	1993 Estimate	1994 Estimate
Personnel compensation:			
11.1 Full–time permanent	22,812	...	...
11.3 Other than full–time permanent	488	...	...
11.5 Other personnel compensation	495	...	...
11.9 Total personnel compensation	23,795	...	...
12.1 Personnel benefits: Civilian	6,377	...	...
21.0 Travel and transportation of persons	4,850	...	...
22.0 Transportation of things	252	...	...
23.3 Communications, utilities and miscellaneous charges	227	...	...
24.0 Printing and reproduction	200	...	...
25.2 Other services	9,986	81	...
26.0 Supplies and materials	326	...	...
31.0 Equipment	1,521	...	...
42.0 Insurance claims and indemnities	9	...	...
99.9 Total obligations	47,543	81	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

Personnel Summary

	1992 Actual	1993 Estimate	1994 Estimate
Total compensable workyears:			
Full–time equivalent employment	645	...	...
and holiday hours	2	...	...

4/07/93

MOTOR CARRIER SAFETY
FY 1994 CONGRESSIONAL SUBMISSION

(Dollars In Thousands)

		ADJUSTMENTS TO BASE								
	FY 1993 APPN.	1993 PAY ACT ANNUAL.	MERIT PAY & WIGs	INFL.	OFFICE SPACE RENT	FTE REDUCT.	LESS NON–RECUR.	FY 1993 ADJUSTED BASE	PROGRAM CHANGES	TOTAL FY 1994 REQUEST
PERSONNEL RESOURCES:										
FTP Positions	691							691		691
Full–Time Equivalent										640
Full–Time Permanent FTEs	639					(16)		623		623
All Other	18					(1)		17		17
Exempt from Ceiling	8							8		8
Total, Funded FTE	665					(17)		648		648
FINANCIAL RESOURCES:										
Salaries and Benefits	$32,062	$287	$561			($783)		$32,127		$32,127
Travel	4,953			134				5,087		5,087
Transportation	424			11				435		435
Rent, Comm., & Util.	408			11				419		419
GSA Rent	0							0		0
Comm. & Utilities	(408)			(11)				(419)		(419)
Printing	200			5				205		205
Other Services:	11,042			298				11,340	3,404	14,744
Contract Programs	(4,183)			(113)				(4,296)	(3,404)	(7,700)
All Other	(6,859)			(185)				(7,044)		(7,044)
Supplies and Materials	316			9				325		325
Equipment	2,095			57				2,152		2,152
Total Limitation	$51,500	$287	$561	$525	$0	($783)	$0	$52,090	$3,404	$55,494

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

GENERAL STATEMENT

(Note: This document is presented for program justification purposes. Overall funding requirements are included under the "Limitation on General Operating Expenses" request.)

The Federal Highway Administration's (FHWA) FY 1994 budget for the Motor Carrier Safety program reflects the resources necessary for implementation of programs authorized by the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA). FHWA will continue to place high priority on improving the safe and efficient operation of trucks and buses as part of its broader responsibility for safety on the Nation's highways. This proposed budget maintains our stewardship role with State officials and industry representatives to ensure a high quality surface transportation system promoting the Nation's economic vitality and quality of life for its people.

The FY 1994 program, funded from the Highway Trust Fund, totals $55.494 million. A major priority in FY 1994 is a $7.7 million research program. Through this program, research will be conducted in areas such as: medical research to assess medical examiner training needs, develop requirements for a national medical advisory board on motor carrier issues and implement State-based medical certification procedures; research to evaluate Commercial Drivers' License program effectiveness and benefits and hazardous materials cargo tank performance and to validate simulators for commercial driver training, testing and licensing; and bus research to assess training needs for drivers and mechanics and to evaluate potential vehicle maintenance improvements. Further details of the Motor Carrier Research and Development program are included in the GOE Contract Programs section of this budget.

Additionally, the FY 1994 Motor Carrier Safety program budget provides realistic resource requirements necessary for continued funding of major areas. These include: (1) the development of hazardous materials permit and routing rules; and (2) expansion of international market access through cooperative working arrangements with Canada and Mexico to harmonize motor carrier regulations in accordance with Chapter 9 of the North American Free Trade Agreement (NAFTA).

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

FINANCIAL REQUIREMENTS

The FY 1994 Motor Carrier Safety program totals $55.494 million, representing a $3.994 million increase over the FY 1993 funding level. This increase is attributable to adjustments to base including mandatory built-in operating cost increases due to inflation and adjustments to Salaries and Benefits, such as pay act and Merit Pay compensation, as well as savings resulting from a reduction of 17 full-time equivalent workyears. Also included is a $3.4 million increase to the motor carrier research and development program.

		(Dollars in Thousands)
Analysis of Changes from FY 1993 to FY 1994		
FY 1993 Appropriation		$51,500
Adjustments to Base		
FY 1993 Pay Act Annualization	287	
Merit Pay and WIGs	561	
Inflation	525	
FTE Reduction	-783	
Subtotal, Adjustments to Base		590
Program Changes		
Research and Development	3,404	
Subtotal, Programs Changes		3,404
TOTAL FY 1994 FUNDING		**$55,494**

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

NARRATIVE EXPLANATION

	(Dollars in Thousands)
ADJUSTMENTS TO BASE	+$590

Pay Act Annualization +287

The FY 1993 appropriation included increases for the January 1993 pay act, applicable to 189 working days in FY 1993. An additional $287,000 is necessary to cover the additional 72 days required to provide a full year's funding.

Merit Pay and Within Grades +561

Within-grade increases and performance management and recognition increases are provided to employees earning a satisfactory or higher annual performance rating. Increases under this category are considered built-in operating costs and therefore are budgeted as adjustments to the FY 1993 base in determining FY 1994 salary needs.

Inflation +525

This amount reflects the effect of an estimated inflation factor of 2.7 percent for all non-salary/benefits items for FY 1994 to cover increased operating costs.

FTE Reduction -783

The amount of this reduction represents the cost associated with the elimination of a total of 17 FTEs in FY 1994. This staffing reduction was mandated by President Clinton in Executive Order 12839. Motor Carrier plans to achieve this reduction through attrition.

PROGRAM CHANGES **+$3,404**

Research and Development +3,404

This increase represents a reallocation of no-year research and development funds within the Limitation on General Operating Expenses. A detailed justification is contained in the GOE Contract Programs section of this budget.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

BUREAU OF TRANSPORTATION STATISTICS

GENERAL STATEMENT

The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991, section 6006 (49 U.S.C. 111), establishes in the Department of Transportation a new Bureau of Transportation Statistics. Its Director is appointed by the President with the advice and consent of the Senate to a four-year term. The Bureau's major activities in FY 1994 include a nationwide Commodity Flow Survey with the Census Bureau, a nationwide Passenger Flow Survey, assistance to States and metropolitan planning organizations on the use of Federal statistics, collection of information on NAFTA effects, an assessment of DOT data needs through the National Academy of Sciences, and preparation of the first Transportation Statistics Annual Report.

Financing of the Bureau's operations is authorized as contract authority out of the Highway trust Fund. The contract authority is included in the Federal-Aid Highways program and subject to the obligation limitation applicable to that program. Funds are transferred to the Bureau from Federal-Aid Highways, where all obligations and outlays are counted.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

GENERAL PROVISIONS

SEC. 310. (a) For fiscal year [1993] *1994* the Secretary of Transportation shall distribute the obligation limitation for Federal-aid highways by allocation in the ratio which sums authorized to be appropriated for Federal-aid highways [and highway safety construction] that are apportioned or allocated to each State for such fiscal year bear to the total of sums authorized to be appropriated for Federal-aid highways [and highway safety construction] that are apportioned or allocated to all the States for such fiscal year.

(b) During the period October 1 through December 31, [1992] *1993*, no State shall obligate more than 25 per centum of the amount distributed to such State under subsection (a), and the total of all State obligations during such period shall not exceed 15 per centum of the total amount distributed to all States under such subsection.

(c) Notwithstanding subsections (a) and (b), the Secretary shall--

(1) provide all States with authority sufficient to prevent lapses of sums authorized to be appropriated for Federal-aid highways [and highway safety construction] that have been apportioned to a State, except in those instances in which a State indicates its intention to lapse sums apportioned under section 104(b)(5)(A) of title 23, United States Code;

(2) after August 1, [1993] *1994*, revise a distribution of the funds made available under subsection (a) if a State will not obligate the amount distributed during that fiscal year and redistribute sufficient amounts to those States able to obligate amounts in addition to those previously distributed during that fiscal year giving priority to those States having large unobligated balances of funds apportioned under sections 103(e)(4), 104 and 144 of title 23, United States Code, and under sections 1013(c) and 1015 of Public Law 102-240; and

(3) not distribute amounts authorized for administrative expenses, the Federal lands highway program, the intelligent vehicle highway systems program, and amounts made available under sections 1040, 1047, 1064, [5003], 6001, [6004, 6005] *6006*, 6023, 6024, of Public Law 102-240, not more than [$6,800,000 for section 6006 of Public Law 102-240, not more than $2,400,000 for section 6015 of Public Law 102-240, not more than $750,000] *$1,107,124* for section 5002 of Public Law 102-240, [and $200,000 for the Commission to Promote Investment in America's Infrastructure authorized by section 1081 of Public Law 102-240,] and notwithstanding any other provision of law, not distribute [$7,500,000] *$15,000,000* of the obligation limitation established by this Act for Federal-aid highways [and highway safety construction]: *Provided*, That such undistributed obligation

limitation shall be available for administrative costs and allocation to States under section 1302(d) of the Symms National Recreational Trails Act of 1991: *Provided further,* That amounts for [section 1081 of Public Law 102-240,] section 5002 of Public Law 102-240, [section 6015 of Public Law 102-240,] and section 1302(d) of the Symms National Recreational Trails Act of 1991 shall be deemed necessary for administration under section 104(a) of title 23, United States Code.

(d) The limitation on obligations for Federal-aid highways [and highway safety construction programs] for fiscal year [1993] *1994* shall not apply to obligations for emergency relief under section 125 of title 23, United States Code; obligations under section 157 of title 23, United States Code; projects covered under section 147 of the Surface Transportation Assistance Act of 1978, section 9 of the Federal-Aid Highway Act of 1981, sections 131(b), 131(j), and 404 of Public Law 97-424, and sections 1061 1103 through [1108] 1109, 4008, and *6023(b)(8) and 6023(b)(10)* of Public Law 102-240; projects authorized by Public Law 99-500, [Public Law 99-591] and Public Law 100-202; or projects covered under subsections 149 (b) and (c) of Public Law 100-17: *Provided, That during the period October 1 through December 31, 1993, the aggregate amount of obligations under section 157 of title 23, United States Code, for projects covered under section 147 of the Surface Transportation Assistance Act of 1978, section 9 of the Federal-Aid Highway Act of 1981, sections 131(b), 131(j), and 404 of Public Law 97-424, sections 1061, 1103 through 1109, 4008, and 6023(b)(8) and 6023(b)(10) of Public Law 102-240, for projects authorized by Public Law 99-500 and Public Law 100-202, or for projects covered under subsections 149(b) and (c) of Public Law 100-17 shall not exceed $302,551,350.*

(e) Subject to paragraph (c)(2) of this General Provision, a State which after August 1 and on or before September 30 of fiscal year [1993] *1994* obligates the amount distributed to such State in that fiscal year under paragraphs (a) and (c) of this General Provision may obligate for Federal-aid highways [and highway safety construction] on or before September 30, [1993] *1994*, an additional amount not to exceed 5 percent of the aggregate amount of funds apportioned or allocated to such State--

(1) under sections 104 and 144 of title 23, United States Code, and 1013(c) and 1015 of Public Law 102-240, and

(2) for highway assistance projects under section 103(e)(4) of title 23, United States Code,

which are not obligated on the date such State completes obligation of the amount so distributed.

(f) During the period August 2 through September 30, [1993] *1994*, the aggregate amount which may be obligated by all States pursuant to paragraph (e) shall not exceed 2.5 percent of the aggregate amount of funds apportioned or allocated to all States--

(1) under sections 104 and 144 of title 23, United States Code, and 1013(c) and 1015 of Public Law 102-240, and

(2) for highway assistance projects under section 103(e)(4) of title 23, United States Code, which should not be obligated in fiscal year [1993] *1994*, if the total amount of the obligation limitation provided for such fiscal year in this Act were utilized.

(g) Paragraph (e) shall not apply to any State which on or after August 1, [1993] *1994*, has the amount distributed to such State under paragraph (a) for fiscal year [1993] 1994, reduced under paragraph (c)(2).

SEC. [315] *312*. None of the funds in this Act shall be used to implement section 404 of title 23, United States Code.

[SEC. 318. The Secretary of Transportation shall permit the obligation of not to exceed $4,000,000, apportioned under title 23, United States Code, section 104(b)(5)(B) for the State of Florida for operating expenses of the Tri-County Commuter Rail Project in the area of Dade, Broward, and Palm Beach Counties, Florida, during each year that Interstate 95 is under reconstruction in such area.]

[SEC. 327. REVOCATION OR SUSPENSION OF DRIVERS' LICENSES OF INDIVIDUALS CONVICTED OF DRUG OFFENSES.--

(a) IN GENERAL. --Section 159 of title 23, United States Code, is amended to read as follows:

"§ 159. Revocation or suspension of drivers' licenses of individuals convicted of drug offenses

"(a) WITHHOLDING OF APPORTIONMENTS FOR NONCOMPLIANCE.--

"(1) BEGINNING IN FISCAL YEAR 1994.--For each fiscal year the Secretary shall withhold 5 percent of the amount required to be apportioned to any State under each of paragraphs (1), (3), and (5) of section 104(b) on the first day of each fiscal year which begins after the second calendar year following the effective date of this section if the State does not meet the requirements of paragraph (3) on such date.

"(2) BEGINNING IN FISCAL YEAR 1996.--The Secretary shall withhold 10 percent (including any amounts withheld under paragraph (1)) of the amount required to be apportioned to any State under each of paragraphs (1), (3), and (5) of section 104(b) on the first day of each fiscal year which begins after the fourth calendar year following the effective date of this section if the State does not meet the requirements of paragraph (3) on the first day of such fiscal year.

"(3) REQUIREMENTS.--A State meets the requirements of this paragraph if--

(A) the State has enacted and is enforcing a law that requires in all circumstances, or requires in the absence of compelling circumstances warranting an exception--

"(i) the revocation, or suspension for at least 6 months, of the driver's license of any individual who is convicted, after the enactment of such law, of--

"(I) any violation of the Controlled Substances Act, or

"(II) any drug offense; and

"(ii) a delay in the issuance of reinstatement of a driver's license to such an individual for at least 6 months after the individual applies for the issuance or reinstatement of a driver's license if the individual does not have a driver's license, or the driver's license of the individual is suspended, at the time the individual is so convicted; or

"(B) the Governor of the State--

"(i) submits to the Secretary no earlier than the adjournment sine die of the first regularly scheduled session of the State's legislature which begins after the effective date of this section a written certification stating that the Governor is opposed to the enactment or enforcement in the State of a law described in subparagraph (A), relating to the revocation, suspension, issuance, or reinstatement of drivers' licenses to convicted drug offenders; and

"(ii) submits to the Secretary a written certification that the legislature (including both Houses where applicable) has adopted a resolution expressing its opposition to a law described in clause (i).

"(b) PERIOD OF AVAILABILITY; EFFECT OF COMPLIANCE AND NONCOMPLIANCE.--

"(1) PERIOD OF AVAILABILITY OF WITHHELD FUNDS.--

"(A) FUNDS WITHHELD ON OR BEFORE SEPTEMBER 30, 1995.--Any funds withheld under subsection (a) from apportionment to any State on or before September 30, 1995, shall remain available for apportionment to such State as follows:

"(i) If such funds would have been apportioned under section 104(b)(5)(A) but for this section, such funds shall remain available until the end of the fiscal year for which such funds are authorized to be appropriated.

"(ii) If such funds would have been apportioned under section 104(b)(5)(B) but for this section, such funds shall remain available until the end of the second fiscal year following the fiscal year for which such funds are authorized to be appropriated.

"(iii) If such funds would have been apportioned under paragraph (1), (3), or (5) of section 104(b) but for this section, such funds shall remain available until the end of the third fiscal year following the fiscal year for which such funds are authorized to be appropriated.

"(B) FUNDS WITHHELD AFTER SEPTEMBER 30, 1995.--No funds withheld under this section from apportionment to any State after September 30, 1995, shall be available for apportionment to such State.

"(2) APPORTIONMENT OF WITHHELD FUNDS AFTER COMPLIANCE.--If, before the last day of the period for which funds withheld under subsection (a) from apportionment are to remain available for apportionment to a State under paragraph (1), the State meets the requirements of subsection (a)(3), the Secretary shall, on the first day on which the State meets the requirements of subsection (a)(3), apportion to the State the funds withheld under subsection (a) that remain available for apportionment to the State.

"(3) PERIOD OF AVAILABILITY OF SUBSEQUENTLY APPORTIONED FUNDS.--Any funds apportioned pursuant to paragraph (2) shall remain available for expenditure as follows:

"(A) Funds which would have been originally apportioned under section 104(b)(5)(A) shall remain available until the end of the fiscal year succeeding the fiscal year in which such funds are apportioned under paragraph (2).

"(B) Funds which would have been originally apportioned under paragraph (1), (3), or (5)(B) of section 104(b) shall remain available until the end of the third fiscal year succeeding the fiscal year in which such funds are so apportioned.

Sums not obligated at the end of such period shall lapse or, in the case of funds apportioned under section 104(b)(5), shall lapse and be made available by the Secretary for projects in accordance with section 118(b).

"(4) EFFECT OF NONCOMPLIANCE.--If, at the end of the period for which funds withheld under subsection (a) from apportionment are available for apportionment to a State under paragraph (1), the State does not meet the requirements of subsection (a)(3), such funds shall lapse or, in the case of funds withheld from apportionment under section 104(b)(5), such funds shall lapse and be made available by the Secretary for projects in accordance with section 118(b).

"(c) DEFINITIONS.--For purposes of this section--

"(1) DRIVER'S LICENSE.--The term 'driver's license' means a license issued by a State to any individual that authorizes the individual to operate a motor vehicle on highways.

"(2) DRUG OFFENSE.--The term 'drug offense' means any criminal offense which proscribes--

"(A) the possession, distribution, manufacture, cultivation, sale, transfer, or the attempt or conspiracy to possess, distribute, manufacture, cultivate, sell, or transfer any substance the possession of which is prohibited under the Controlled Substances Act; or

"(B) the operation of a motor vehicle under the influence of such a substance.

"(3) CONVICTED.--The term 'convicted' includes adjudicated under juvenile proceedings".

(b) EFFECTIVE DATE.--The amendments made by subsection (a) for this section shall take effect November 5, 1990.]

[SEC. 332. Section 1064(e) of Public Law 102-240 is amended by adding: "For further purposes of this section, the access road from Interstate Business Route 75 to the Sugar Island Ferry Service in Chippewa County, Michigan, and the access road from United States Route 31 to Beaver Island Ferry Service in Charlevoix County, Michigan, shall be treated as principal arterials.".]

[SEC. 333. Notwithstanding any other provision of law, funds provided in this or subsequent Acts for necessary expenses to carry out the provisions of section 1069 of Public Law 102-240 are to remain available until expended.]

[SEC. 334. From funds appropriated to the Department of Transportation or made available by this Act or any other Act, the Secretary of Transportation shall, notwithstanding any other provision of this Act or any other Act, make available not to exceed $3,000,000 for a transportation resource center at Barry University, Miami Shores, Florida.]

[SEC. 335. Of the amounts available under the urban high density program for the project designated in the State of Indiana, such amounts may be used for the reconstruction of an interchange of the subject project with the Borman Expressway.]

[SEC. 336. Notwithstanding any other provision of law, funds made available from the withdrawal of the I-205 bus lanes under section 142 of Public Law 100-17, and previously appropriated funds from the withdrawal are available for locally designated transit projects in Portland, Oregon until expended.]

[SEC. 338. Public Law 98-63, 97 Stat. 329, is amended as follows:

> "(3) The provisions of subsection (1) of this section shall terminate on December 31, 1983. The provisions of subsection (2) of this section shall terminate three years from the enactment of this section unless construction of the I-287 bypass and the construction of high occupancy vehicle lanes or auxiliary lanes on I-287 from, the I-287 intersection with State Route 22 in Somerset County to the I-287 intersection with I-80 in Morris County in New Jersey or any other feasible, suitable alternative has been commenced. In the event construction has been commenced subsection (2) of this section will terminate ten years from the enactment of this section, or when construction of I-287 bypass and the construction of high occupancy vehicle lanes or auxiliary lanes on I-287 for the I-287 intersection with State Route 22 in Somerset County to the I-287 intersection with I-80 in Morris County in New Jersey or any other feasible, suitable alternative is completed, whichever occurs first.

"(4) Notwithstanding any other provision of law, procedural or substantive, 100 per centum Federal highway trust funds moneys are hereby allocated as part of the State's allocation, and are immediately available for obligation to the State of New Jersey for the construction of the I-287 bypass and the construction of high occupancy lanes or auxiliary lanes on I-287 from the I-287 intersection with State Route 22 in Somerset County to the I-287 intersection with I-80 in Morris County in New Jersey or any other feasible, suitable alternative, such appropriation as may be made available by Congress from general appropriations to cover 100 per centum of the cost of the I-287 bypass or the alternative route: *Provided,* That such appropriation shall not exceed New Jersey's apportionment using the apportionment factor contained in revised table 5 of the Committee Print Numbered 102-24 of the Committee on Public Works and Transportation of the House of Representatives".]

[SEC. 339. For the purpose of carrying out a demonstration of the construction of public toll roads in Orange County, California, authorized by 23 U.S.C. 129(d), there is hereby appropriated $9,600,000 for the Secretary to enter into an agreement to make a loan or loans not to exceed $120,000,000 to the public entity or entities with the statutory duty to construct such facilities, to be available upon the completion of construction of such facilities for five years from the date capitalized interest funds are exhausted and only if and to the extent revenues from toll operations and standard reserves are less than revenue necessary for debt service established under the eligibility criteria applicable thereto and no more than 20 percent of the total loan amount would be payable in any one year of operation: *Provided,* That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highway and highway safety construction programs: *Provided further,* That such loan or loans shall draw interest at the 30-year United States Treasury Bond rate on the date such loan or loans are made and shall be repaid in not more than 30 years. Notwithstanding any other provisions of law, such loan or loans shall not constitute a guarantee of the payment of principal or interest with respect to any indebtedness heretofore or hereafter issued by said public entity or entities.]

[SEC. 340. The Federal Highway Administration (FHWA) shall execute an agreement with the State of Virginia (regarding Federal Aid Project-Q-RS 1046(101) re. Fairfax County, Virginia) pursuant to which loan repayment can be concluded by September 30, 1997.]

[SEC. 341. Section 1023 of the Intermodal Surface Transportation Efficiency Act (Public Law 102-240) is amended by adding a new subsection (h) as follows:

"(h) PUBLIC TRANSIT VEHICLES.--

"(1) TEMPORARY EXEMPTION.--The second sentence of section 127 of title 23, United States Code, relating to axle weight limitations for vehicles using the Dwight D. Eisenhower System of Interstate and Defense Highways, shall not apply, for the 2-year period beginning on the date of enactment of this Act, to any vehicle which is regularly and exclusively used as an intrastate public agency transit passenger bus. The Secretary may extend such 2-year period for an additional year.

"(2) STUDY.--The Secretary shall conduct a study on the maximum axle weight limitations on the Dwight D. Eisenhower System of Interstate and Defense Highways established under section 127 of title 23, United States Code, or under State laws, as they apply to public transit vehicles. The study shall determine whether or not public transit vehicles should be exempted from the requirements of section 127 or State laws or if such laws should be modified with regard to public transit vehicles. In making such determination, the Secretary shall consider current transit vehicle design standards, the implications of the Americans with Disabilities Act and Clean Air Act requirements on such design standards, and the potential impact of revised design standards on transit ridership capacity, operating and replacement costs, air quality concerns, and highway wear and tear.

"(3) REPORT.--Not later than 18 months after the date of enactment of this Act, the Secretary shall submit to the Congress a report on the result of the study conducted under paragraph (2), together with recommendations".]

[SEC 346. ADVANCE ACQUISITION OF RIGHTS-OF-WAY.--Section 108 of title 23, United States Code, is amended--

(1) in subsection (a) by striking "of Federal-aid highway systems, including the Interstate System," and inserting "Federal-aid highway";

(2) in subsection (a) by striking "for expenditure on any of the Federal-aid highway systems, including the Interstate System," and inserting "which may be expended on such highway";

(3) in subsection (c)(2) by inserting "and passenger transit facilities" after "highways";

(4) in subsection (c)(3) by striking "highway" in the first sentence, and the first place it appears in the second sentence and inserting "project"; and

(5) in subsection (c)(3) by striking "on the federal-aid system of which such project is to be part," and inserting "of the type funded".]

[SEC. 347. Not withstanding any other provision of law, any unspent balance of funds previously earmarked for the Long Island Expressway Fourth Lane project shall be applied instead to the Robert Moses Causeway rehabilitation project and to the Loop Parkway Bridge rehabilitation project.]

[SEC. 351. HIGH PRIORITY CORRIDORS.--Paragraph (18) of section 1105(c) of the Intermodal Surface Transportation Efficiency Act of 1991 is amended to read as follows:

> "(18) Corridor from Indianapolis, Indiana, through Evansville, Indiana, Memphis, Tennessee, Shreveport/Bossier, Louisiana, and to Houston, Texas.".]

[SEC. 352. Notwithstanding any other provision of law, none of the funds in this Act or previous Acts shall be used for the widening of U.S. Highway 93 between Somers and Whitefish, Montana, until the Federal Highway Administration has completed a feasibility study of design alternatives: *Provided,* That such study shall be completed by September 30, 1993, and shall be conducted in consultation with the Montana Department of Transportation and local authorities in Flathead County, Montana: *Provided further,* That such study shall address the cost, safety, aesthetics, and land use planning impacts of each design alternative: *Provided further,* That the Federal share of funding for such study shall be 100 percent of the cost of such study.]

[SEC. 357. The Historic United States Customs building located adjacent to Interstate Route I-15 in Sweetgrass, Montana, and the border with Canada is hereby exempt from the restrictions contained in section 111 of title 23, United States Code, prohibiting use of and access to rights-of-way on the Interstate System: *Provided,* That such exemption shall be only for the purpose of permitting the use of such facility for the sale of only those articles which are for the export and for consumption outside the United States: *Provided further,* That such right-of-way access be developed in conjunction with the overall redesign planning work that is underway to relieve the congestion problems at the Sweetgrass border crossing.]

[SEC. 358. Notwithstanding any other provisions of law, tolls collected for motor vehicles on any bridge connecting the borough of Brooklyn, New York, and Staten Island, New York, shall continue to be collected for only those vehicles exiting from such bridge in Staten Island.]

[SEC. 359. Projects to research, develop and test technologies to control highway related emissions which contribute to the nonattainment of any ambient air quality standard or the impairment of visibility within an urbanized area shall be deemed to be eligible under the Congestion Mitigation and Air Quality Improvement Program.]

[SEC. 361. Notwithstanding any other provision of law, the Secretary of Transportation shall waive the State matching share for the construction of any portion of an international road project located outside of the borders of any State of the United States for which funds are earmarked in the Intermodal Surface Transportation Efficiency Act of 1991 or in the Department of Transportation and Related Agencies Appropriations Act, 1992.]

[SEC. 363. Notwithstanding any other provision of law, the State of Vermont shall be reimbursed, in an amount not to exceed $1,400,000, for its share of work performed on major and minor reconstruction of roadways and bridges on United States Interstate Routes 89 and 91, in Vermont.]

[SEC. 367. Notwithstanding any other provision of law, the Secretary of Transportation shall make available $4,100,000 in fiscal year 1993 from section 1105(f)(16) of Public Law 102-240 to section 1108(b)(25) of Public Law 102-240.]

[SEC. 368. Notwithstanding any other provision of law, section 1105(e)(2) of Public Law 102-240 is amended by adding at the end the following new sentence: "A study may be conducted under this subsection to determine the feasibility of constructing a more direct limited access highway between Peoria and Chicago, Illinois".]

[SEC. 369. Notwithstanding any other provision of law, section 1108(b)(17) of Public Law 102-240 is amended by striking the current project description and inserting, "Conduct environmental studies, preliminary engineering, and construction for the Las Vegas beltway, including those portions linking McCarran International Airport and I-15".]

[SEC. 370. Notwithstanding any other provision of law, in selecting projects to be carried out with funds apportioned to it under section 104 of title 23, United States Code, the State of Illinois shall give priority consideration to reconstruction of Meridian and Glen Crossing Roads in Madison County, Illinois.]

[SEC. 371. Notwithstanding any other provision of law, section 1105(g) of Public Law 102-240 is amended by adding a new paragraph (9) to read as follows:

> "(9) The States of South Dakota and Nebraska may, at their discretion, utilize funds allocated to them for the project described in section 1105(f)(17) of this Act to support the Nebraska/South Dakota feasibility study described in section 1105(f)(7) and may also utilize funds allocated for that study for the project described in section 1105(f)(17)".]

[SEC. 373. Notwithstanding any other provision of law, section 1069(t) of Public Law 102-240 is amended by striking the period in the last line, inserting a comma, and adding: "and funds provided pursuant to this provision shall not be subject to any limitation on obligations for Federal-aid highways and highway safety construction programs".]

[SEC. 375. Notwithstanding any other provision of law, the Secretary is directed to waive the non-Federal share for NASA Road 1 near Houston, Texas.]

[SEC. 376. Notwithstanding any other provision of law or regulation, before July 1, 1993, no lanes on any highway located on federally-owned land, whether subject to easement or otherwise, may be restricted to high occupancy vehicles if those lanes have constructed on maintained through the use of toll receipts.]

[SEC. 378. Notwithstanding any other provision of law, section 1104(b)(17) of Public Law 102-240 is amended by striking the project description and inserting: "Study and construction of a bicycle system to serve as an alternative form of commuter transportation, to reduce air pollution, and to enhance recreation".]

[SEC. 379. Notwithstanding any other provision of law, section 1106(a)(2)(69) of Public Law 102-240 is amended by adding to the project description the following"; plan, design, and construct related, adjacent, or interlocking facilities, preserve any related historical remnants, and acquire the necessary lands or interests in lands for such facilities".]

[SEC. 380. CONGESTION MITIGATION AND AIR QUALITY IMPROVEMENT PROGRAM.--Section 149(b) of title 23, United States Code, is amended by adding at the end the following new sentence: "In areas of a State which are nonattainment for ozone or carbon monoxide, or both, and for PM-10 resulting from transportation activities, the State may obligate such funds for any project or program under paragraph (1) or (2) without regard to any limitation of the Department of Transportation relating to the type of ambient air quality standard such project or program addresses.".]

[SEC. 381. BALTIMORE-WASHINGTON TRANSPORTATION IMPROVEMENTS PROGRAM.--Section 3035(nn)(2) of Public Law 102-240 is amended--

(1) by striking "Waldorf" and inserting "mass transportation improvements to the Waldorf area"; and

(2) by adding after the first sentence the following new sentence: "The transit improvements in the corridor from the Waldorf area to the Washington, D.C. area shall be based on the locally preferred alternatives that result from the Southern Maryland Mass Transportation Alternatives Study of the Tri-County Council for Southern Maryland and shall

include any additional work needed on that study, detailed planning and engineering to be carried out by the Maryland Department of Transportation in conjunction with the Tri-County Council, advanced land acquisition in the transit corridor, and implementation of interim and long-range transit improvements in the transit corridor".]

[SEC. 382. Section 3035(ccc) of Public Law 102-240 is amended by striking "the municipality of metropolitan Seattle, Washington" and inserting "a qualified local sponsor".]

(Department of Transportation and Related Agencies Appropriations Act, 1993.)

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1994

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
FY 1994 CONGRESSIONAL BUDGET JUSTIFICATIONS

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INTRODUCTORY STATEMENT FOR THE FY 1994 BUDGET SUBMISSION TO CONGRESS

The FY 1994 Budget proposal to Congress is designed to enhance further the progress already made by the National Highway Traffic Safety Administration (NHTSA) in improving traffic safety in America. The FY 1994 program is balanced between vehicle safety and driver/pedestrian behavioral issues, and supports central crash data bases and research underlying all program activity.

The agency's program for FY 1994 focuses on the key regulatory, behavioral and consumer issues that must be addressed during the 1990s. Motor vehicle crashes continue to account for almost 95 percent of U.S. transportation deaths and constitute the fourth leading cause of all deaths each year. Vehicle crashes are the leading cause of personal injury, and in 1992 alone more than five million people were injured, half a million of whom were injured seriously enough to be hospitalized.

There is an enormous direct cost to the nation. NHTSA estimates that vehicle crashes, fatalities and injuries cost society over $137 billion annually in lost productivity, medical costs, property damage and other direct expenditures. To provide a perspective, this cost is equivalent to well over two percent in the Gross Domestic Product.

The agency's FY 1994 program is designed to reduce crash-related medical and health costs borne by individuals, the private sector, and government. Medical costs of motor vehicle injuries exceeded $14.4 billion in 1990 and have been increasing at twice the rate of inflation. Achieving our goal of containing these costs at current levels would mean reducing the nation's health care costs by over $1 billion annually.

Traffic safety continues to improve nationally. The motor vehicle fatality toll in 1992 declined to an estimated 39,200 deaths, which is the lowest level in thirty years. Even though increased travel exposed motorists to higher crash risks, the nation's traffic fatality rate last year dropped to an all-time low of about 1.8 fatalities per 100 million vehicle miles of travel. If the fatality rate of 2.8 recorded in 1982 had continued unabated, an additional 22,000 people would have died from traffic crashes in 1992.

The Budget request for FY 1994 reflects the NHTSA's expanded legislated responsibilities and the need to respond to growing public interest in traffic safety. The Budget proposal of $307 million for FY 1994 is designed to continue efforts to improve traffic safety. This level of resources is needed to reach two overriding objectives: to respond to current priorities, such as developing new vehicle safety rules mandated in the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and testing for manufacturer compliance with the new safety performance requirements; and to undertake new initiatives to address emerging safety issues such as an increase in the number of older drivers. NHTSA will continue to develop and demonstrate innovative technical assistance to help States improve their effectiveness in highway safety. To assist States in the older driver area, for example, the agency plans to create new licensing procedures that will more effectively balance the privilege of driving with the need for overall driving safety.

NHTSA has an important role in supporting the public's growing awareness of traffic safety issues. Consumers are showing a preference for the latest safety equipment on their vehicles. Moreover, the agency is experiencing almost 550,000 calls annually to the toll-free Auto Safety Hotline. Motorists are reporting possible safety defects and requesting the latest occupant crash protection test results from the New Car Assessment Program (NCAP). In terms of driving behavior, numerous surveys show a heightened public awareness of the tragic impact of drunk driving. States are reporting that most people use the occupant protection systems in their vehicles. Safety belt use climbed to 62 percent in 1992 and NHTSA's new goal is to reach 75 percent use in the next few years.

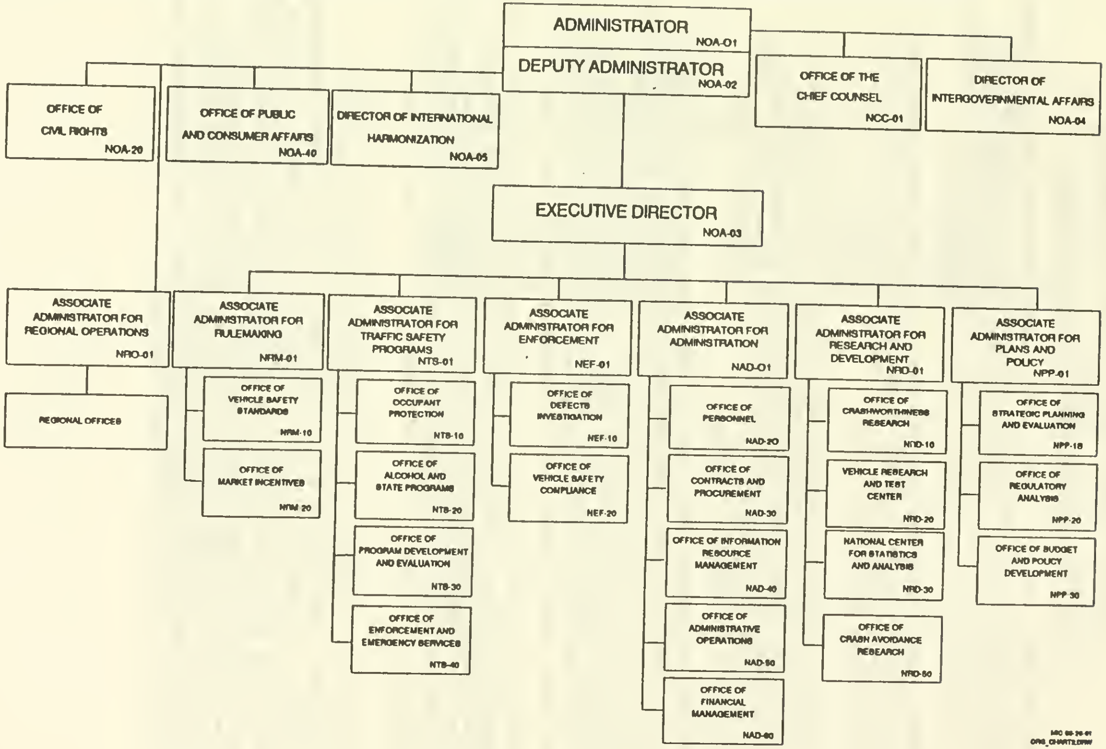
NHTSA's FY 1994 Budget request includes $130 million in the Operations and Research Program for the purpose of meeting legislative requirements and responding to critical national traffic safety problems. The FY 1994 program includes among its initiatives:

- Completion of final rulemaking decisions that implement the vehicle safety regulatory agenda mandated by ISTEA/1991, including requirements to improve occupant safety in all types of passenger vehicles in frontal and side impact crashes.
- Upgrading enforcement compliance tests to ensure that motorists receive increases in safety benefits intended from the higher performance requirements stated in new regulations, such as automatic occupant protection and upgraded side impact protection on all passenger vehicles.
- Focusing the IVHS Program on developing performance guidelines for vehicle safety systems, and carrying out safety evaluations of the Department's mobility enhancement projects.
- Phasing the National Advanced Driving Simulator into fabrication, tests and validation, supported in part by $11 million in non-Federal cost sharing being secured by the simulator host site, the University of Iowa.

- Providing a multi-faceted strategy to help States improve alcohol safety, particularly enforcement of underage drinking laws and programs to keep DWI repeat offenders off the roads. NHTSA will focus on model community programs, training for police and courts, provisional driving licenses for youth, and public information targeted on specific high-risk groups.
- Assisting States in a follow-on campaign to the"70% by'92" Program, in order to achieve the agency's new national safety belt goal of 75 percent use in the next few years.
- Developing countermeasures and underlying safety research to help police officers enforce against excessive speeds and other unsafe driving behaviors.
- Managing the only national data collection program on all motor vehicle crashes, in order to provide the basis for vehicle regulatory decisions, highway safety countermeasure development, and responses to information needs from vehicle manufacturers, State and local government, other Federal agencies, Congress, the media and the public.

Total funding of $177 million from the Highway Trust Fund is requested for Highway Traffic Safety Grants in FY 1994. The budget request would provide $123 million for Section 402 State and Community Highway Safety Grants; $10.5 million for Section 408 Alcohol Safety Incentive Grants; $25 million for Section 410 Impaired-Driving Countermeasure Incentive Grants; $15 million for Section 153 Safety Belt and Motorcycle Helmet Use Incentive Grants; and $3.5 million for the National Driver Register. The grant programs have been identified as contributing $32 million toward meeting the President's investment goals, principally through the impact of NHTSA's grants to States for improving the effectiveness of their alcohol, safety belt and motorcycle helmet programs.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION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NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

Summary of Authorizing Legislation

The national Highway Traffic Safety Administration was established as a separate organization in the Department of Transportation (DOT) in March 1970. It succeeded the National Highway Safety Bureau which had administered motor vehicle and highway safety as an organization in the Federal Highway Administration.

NHTSA's most important programs are authorized under three laws: The National Traffic and Motor Vehicle Safety Act (1966), the Highway Safety Act (1966) and the Motor Vehicle Information and Cost Savings Act (MVICS, 1972).

The Motor Vehicle Act authorizes promulgation and enforcement of safety standards for vehicle and related safety equipment, supporting research including acquisition of required testing facilities, and operation of the National Driver Register (NDR). The National Driver Register Act of 1982 authorized a new, electronic service for States.

The Highway Safety Act (Title 23 USC) provides for a national highway safety program implemented through grants to the States (Section 402), and authorizes supporting research, development and demonstration programs (Section 403). Legislation in 1982 authorized alcohol incentive grants (Section 408) to States that implement certain laws and programs. The 1988 Anti-Drug Abuse Act authorized a drunk driving incentive grant program (Section 410) to encourage even stronger State impairment laws and programs.

The MVICS Act provides for the establishment of low-speed collision bumper standards, consumer information activities and odometer regulations. Amending legislation in 1975 established the Secretary's responsibility (delegated to NHTSA) for establishing automotive fuel economy standards. Legislation i 1984 authorized NHTSA to issue regulations for improving motor vehicle theft prevention.

The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA/1991) represented an important milestone for NHTSA's programs. ISTEA/1991 reauthorized Section 402 State and Community Grants; continued authorization of Section 410 incentives, but in a more effective, two-tiered structure; authorized first-year grants for States with safety belt and motorcycle helmet usage laws (plus second and third-year grants for achieving statutory compliance levels); and authorized funding for the National Driver Register. The ISTEA/1991 established program provisions in a number of other important areas, including a regional program for implementing drug recognition and law enforcement training.

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

RULEMAKING	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Vehicle Safety & Consumer Stds.	*53*	*0*	*0*	*0*	*0*	*0*	*53*
Automotive Consumer Programs	*0*	*16*	*0*	*0*	*0*	*0*	*16*
Plus: Mission Support	*18*	*8*	*0*	*0*	*0*	*0*	*26*
Total FTPs	*71*	*24*	*0*	*0*	*0*	*0*	*95*
Dollars:							
Salaries & Benefits	4,867	1,710	0	0	0	0	6,577
Travel	45	15	0	0	0	0	60
Operating Expenses	1,085	381	0	0	0	0	1,466
Contract Program:							
Vehicle Safety & Consumer Stds.	500	0	0	0	0	0	500
NCAP	0	2,460	0	0	0	0	2,460
Fuel Economy	0	961	0	0	0	0	961
Theft	0	110	0	0	0	0	110
Contract Subtotal	500	3,531	0	0	0	0	4,031
Total Dollars	6,497	5,637	0	0	0	0	12,134

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

ENFORCEMENT	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Defects Investigation	*51*	*0*	*0*	*0*	*0*	*0*	*51*
Vehicle Safety Compliance	*41*	*0*	*0*	*0*	*0*	*0*	*41*
Odometer Fraud	*0*	*5*	*0*	*0*	*0*	*0*	*5*
Plus: Mission Support	*5*	*1*	*0*	*0*	*0*	*0*	*6*
Total FTPs	*97*	*6*	*0*	*0*	*0*	*0*	*103*
Dollars:							
Salaries & Benefits	6,703	428	0	0	0	0	7,131
Travel	87	6	0	0	0	0	93
Operating Expenses	2,022	129	0	0	0	0	2,151
Contract Program:							
Vehicle Safety Compliance	5,400	0	0	0	0	0	5,400
Defects Investigation	3,038	0	0	0	0	0	3,038
Odometer Fraud	100	0	0	0	0	0	100
Contract Subtotal	8,538	0	0	0	0	0	8,538
Total Dollars	17,350	563	0	0	0	0	17,913

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

HIGHWAY SAFETY	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Traffic Safety Programs (HQ)	*0*	*0*	*0*	*82*	*24*	*14*	*120*
Regions	*0*	*0*	*0*	*18*	*62*	*0*	*80*
Plus: Mission Support	*0*	*0*	*0*	*8*	*0*	*0*	*8*
Total FTPs	*0*	*0*	*0*	*108*	*86*	*14*	*208*
Dollars:							
Salaries & Benefits	0	0	0	8,867	4,643	890	14,400
Travel	0	0	0	363	250	0	613
Operating Expenses	0	0	0	1,864	375	0	2,239
Contract Program:							
Alcohol & State Programs	0	0	4,000	7,253	0	0	11,253
Occupant Protection Program	0	0	0	5,773	0	0	5,773
Enforcement & EMS	0	0	0	2,203	0	0	2,203
Highway Safety Research	0	0	0	4,331	0	0	4,331
Records	0	0	0	1,240	0	0	1,240
Contract Subtotal	0	0	4,000	20,800	0	0	24,800
Total Dollars	0	0	4,000	31,894	5,268	890	42,052

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

RESEARCH & ANALYSIS	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Motor Vehicle Research	*76*	*0*	*0*	*0*	*0*	*0*	*76*
NCSA	*21*	*0*	*0*	*26*	*0*	*0*	*47*
Plus: Mission Support	*5*	*0*	*0*	*2*	*0*	*0*	*7*
Total FTPs	*102*	*0*	*0*	*28*	*0*	*0*	*130*
Dollars:							
Salaries & Benefits	7,062	0	0	1,938	0	0	9,000
Travel	101	0	0	29	0	0	130
Operating Expenses	1,764	0	0	484	0	0	2,248
Contract Program:							
Motor Vehicle Research	22,647	0	0	0	0	0	22,647
NCSA	8,969	0	0	8,969	0	0	17,938
Technology Transfer	26	0	0	14	0	0	40
Contract Subtotal	31,642	0	0	8,983	0	0	40,625
Total Dollars	40,569	0	0	11,434	0	0	52,003

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

OFFICE OF THE ADMINISTRATOR AND STAFF OFFICES	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Office of the Administrator and Staff Offices	*45*	*3*	*0*	*15*	*0*	*0*	*63*
Less: Mission Support	*(15)*	*(3)*	*0*	*(4)*	*0*	*0*	*(22)*
Net FTPs	*30*	*0*	*0*	*11*	*0*	*0*	*41*
Dollars:							
Salaries & Benefits	2,077	0	0	762	0	0	2,839
Travel	50	0	0	19	0	0	69
Operating Expenses	462	0	0	171	0	0	633
Total Dollars	2,589	0	0	952	0	0	3,541

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars In Thousands)

GENERAL ADMINISTRATION	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions:							
Administration (including Plans & Policy)	*83*	*6*	*0*	*26*	*0*	*0*	*115*
Less: Mission Support	*(13)*	*(6)*	*0*	*(6)*	*0*	*0*	*(25)*
Net FTPs	*70*	*0*	*0*	*20*	*0*	*0*	*90*
Dollars:							
Salaries & Benefits	4,915	0	0	1,385	0	0	6,300
Travel	27	0	0	7	0	0	34
Operating Expenses	1,096	0	0	309	0	0	1,405
Contract Program:							
Program Evaluation	250	0	0	250	0	0	500
Strategic Planning	100	0	0	100	0	0	200
Economic Analysis	100	0	0	0	0	0	100
Contract Subtotal	450	0	0	350	0	0	800
Total Dollars	6,488	0	0	2,051	0	0	8,539

OPERATIONS AND RESEARCH

LEGISLATIVE AUTHORIZATION FOR FY 1994 CONGRESSIONAL REQUEST

(Dollars in Thousands)

NHTSA TOTAL	National Traffic and Motor Vehicle Safety Act	Motor Vehicle Information and Cost Savings Act	Drug Recognition Expert Training	Section 403 of Highway Safety Act	State Formula Grant Admin. (Highway Safety Act)	Nat'l Driver Register Admin. Expenses	Total
Permanent Positions	*370*	*30*	*0*	*167*	*86*	*14*	*667*
Dollars:							
Salaries & Benefits	25,624	2,138	0	12,952	4,643	890	46,247
Travel	310	21	0	418	250	0	999
Operating Expenses	6,429	510	0	2,828	375	0	10,142
Contract Program	41,130	3,531	4,000	30,133	0	0	78,794
Total, NHTSA	73,493	6,200	4,000	46,331	5,268	890	136,182

EXHIBIT IA

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
RESOURCE SUMMARY - FINANCING
($ in thousands)

APPROPRIATION TITLE	BUDGET AUTHORITY FY 1992 ACTUAL	FY 1993 ESTIMATE	FY 1994 REQUEST
Operation and Research:			
General Funds	$78,528	$82,080	$79,693
Highway Trust Fund	44,172	46,170	50,331
Operations and Research (net)	122,700	128,250	130,024
Highway Traffic Safety Grants (Highway Trust Fund)	126,000*	171,000*	196,000*
Miscellaneous Safety Programs	0	0	0
TOTAL BUDGET AUTHORITY	248,700	299,250	326,024

* Reflects amount authorized, which differs from the program level.

LIQUIDATING CASH APPROPRIATIONS:			
Highway Traffic Safety Grants	130,000	150,000	144,000**

** Includes $7 million which is part of the Administration's investment proposals.

EXHIBIT IB

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
RESOURCE SUMMARY - FINANCING
($ in thousands)

APPROPRIATION TITLE	PROGRAM LEVEL (OBLIGATIONS)		
	FY 1992 ACTUAL	FY 1993 ESTIMATE	FY 1994 REQUEST
Operation and Research:			
General Funds	$82,169	$98,331	$79,693
Highway Trust Fund	44,172	46,170	50,331
Operations and Research (net)	126,341	144,501	130,024
Highway Traffic Safety Grants (Highway Trust Fund)	137,954	141,650	177,000*
Miscellaneous Safety Programs	23	17	0
TOTAL PROGRAM LEVEL (OBLIGATIONS)	264,318	286,168	307,024
OBLIGATION LIMITATIONS: Highway Traffic Safety Grants:			
Section 402 State and Community Safety Formula Grants	118,000	115,000	123,000*
Section 408 Alcohol Safety Incentive Grants	20,000	11,000	10,500
Section 410 Alcohol-Impaired Driving Countermeasures Grants	--	--	25,000*
Section 153 Safety Belt Use and Motorcycle Helmet Use Grants	--	12,000	15,000*
National Driver Register	--	3,650	3,500
TOTAL OBLIGATION LIMITATIONS	138,000	141,650	177,000*

* Includes $32 million as part of the Administration's investment proposals as follows: $4.324 million for Section 402 grants, $25.0 million for Section 410 grants, and $2.676 million for Section 153 grants.

EXHIBIT IC

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
RESOURCE SUMMARY - FINANCING
($ in thousands)

APPROPRIATION TITLE	OUTLAYS FY 1992 ACTUAL	 FY 1993 ESTIMATE	 FY 1994 REQUEST
Operation and Research:			
General Funds	$81,479	$84,171	$83,590
Highway Trust Fund	27,864	51,992	55,656
Operations and Research (net)	109,343	136,163	139,246
Highway Traffic Safety Grants (Highway Trust Fund)	130,241	133,753	141,511*
Miscellaneous Safety Programs	1,945	1,400	1,400
TOTAL OUTLAYS	241,529	271,316	282,157

* Includes $5.924 million in outlays which are part of the Administration's investment initiatives.

EXHIBIT II

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
RESOURCE SUMMARY - STAFFING

	FY 1992 ACTUAL	FY 1993 ESTIMATE	FY 1994 REQUEST
FULL-TIME PERMANENT (FTP) POSITIONS:			
Operations & Research (General Funds)	420	401	400
Operations & Research (Trust Fund)	162	167	167
Highway Traffic Safety Grants	87	100	100
TOTAL AUTHORIZED FTPs	669	668	667
FULL-TIME EQUIVALENT (FTE) STAFF-YEARS			
FTE Subject to Ceiling:			
Ceiling FTE - FTP	656	638	637
Ceiling FTE - OTFTP	47	34	34
Ceiling FTE - Total	703	672	671
Non-Ceiling FTE - OTFTP	24	19	19
Reduction	--	--	-7
TOTAL CEILING AND NON-CEILING FTE	727	691	683
TOTAL END-OF-YEAR EMPLOYMENT (IN FTP POSITIONS)	669	648	647

NOTE: Includes positions and full-time equivalent staff-years funded from Operations and Research (General Funds) and Operations and Research (Highway Trust Fund) as well as from funds transferred for grant administration from the Highway Traffic Safety Grants account.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

Funding Summary

The Operations and Research (O&R) appropriation provides funding for salaries/expenses, operating expenses and contract programs. The resources for this account are derived from direct appropriations and from reimbursements for grant program administration of Highway Traffic Safety Grants (HTSG). The HTSG appropriation provides obligation limitations for grant programs authorized by the Highway Safety Act (as amended by ISTEA), and funds Section 402 State and Community Highway Safety Grants and Section 408 Alcohol Safety Incentive Grants. Funding is also provided for Section 410 Alcohol-Impaired Driving Countermeasures Incentive Grants, Section 153 Safety Belt and Motorcycle Helmet Use Incentive Grants, and the National Driver Register.

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Operations and Research			
Rulemaking Programs...........	$11,060	$12,134	+$1,074
Enforcement Programs..........	16,430	17,913	+1,483
Highway Safety Programs.......	41,086	42,052	+966
Research and Analysis Programs	54,104	52,003	-2,101
Office of the Administrator...	3,514	3,541	+27
General Administration........	8,099	8,539	+440
Operations & Research (gross)	134,293	136,182	+1,889
Less:Grant Admin. Reimbursements	-6,043	-6,158	-115
Operations & Research (net)..	128,250	130,024	+1,774
Highway Traffic Safety Grants			
Section 402 Formula Grants....	115,000	123,000	+8,000
Section 408 Alcohol Safety Incentive Grants.............	11,000	10,500	-500
Section 410 Alcohol-Impaired Driving Countermeasure Grants	0	25,000	+25,000
Section 153 Safety Belt and Motorcycle Helmet Use Grants.	12,000	15,000	+3,000
National Driver Register......	3,650	3,500	-150
Highway Traffic Safety Grants.	141,650	177,000	+35,350
TOTAL PROGRAM..........	269,900	307,024	+37,124

OPERATIONS AND RESEARCH

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	668	667	-1
Use of Funds:			
Salaries & Expenses	$46,803	$47,246	+$443
Operating Expenses	10,181	10,142	-39
Contract Program	77,309	78,794	+1,485
Total, Operations & Research	134,293	136,182	+1,889
Source of Funds:			
O&R Federal	$82,080	$79,693	-$2,387
O&R Trust	46,170	50,331	+4,161
Grant Administration	6,043	6,158	+115
Total, Operations & Research	134,293	136,182	+1,889

OPERATIONS AND RESEARCH

Summary of FY 1994 Increases

	(Dollars in Thousands)
FY 1993 Appropriation:	
o Operations and Research (net)	$128,250
o Grant Administration	6,043
Operations and Research (gross)	134,293
Base Adjustments:	
o Personnel Compensation and Benefits	+388
o Travel	+55
o Operating Expenses	-39
Subtotal	+404
Adjusted Base	134,697
Program Changes:	
o Contract Program	+1,485
FY 1994 Request:	
o Operations and Research (net)	$130,024
o Grant Administration	6,158
Operations and Research (gross)	136,182

OPERATIONS AND RESEARCH

Analysis of FY 1994 Increase

SALARIES AND EXPENSES (+$443 thousand)

Salaries and expenses include personnel compensation and benefits (PC&B) and travel. The FY 1994 increase for these expenses is discussed below.

- Personnel Compensation and Benefits (+$388 thousand)

  The level requested for FY 1994 assumes only minimal, technical adjustments will be made to the FY 1993 enacted level. Consistent with government-wide initiatives to restrain funding for salaries and benefits, the FY 1994 budget for NHTSA assumes there will be no pay increase during FY 1994 for cost-of-living adjustments or locality differentials. In addition, as part of the government-wide policy of reducing Federal employment, the budget for NHTSA assumes there will be a net reduction of 7 full-time equivalent (FTE) staff-years.

  The FY 1993 enacted level, the technical adjustments, the impact of the reduced employment level, and the requested level for FY 1994 are shown below:

  (Dollars in Thousands)

$ 45,859	FY 1993 enacted level for salaries and benefits, adjusted as assumed in the Quarterly Report of Reprogramming Actions, dated 11/17/92, which was transmitted to the House and Senate Appropriations Committees.
+422	Annualizing the FY 1993 pay raise in FY 1994. (Providing funding for the fourth quarter of the FY 1993 pay raise as only three quarters of it was funded in FY 1993.)
+67	Annualizing the cost of two new rulemaking positions provided in FY 1993. The FY 1993 appropriation assumed the two positions, but only provided funding for 1 FTE during that year, with the balance of funding to be added during FY 1994.
+153	Increase for the public mass transportation fare subsidy program to cover the fare subsidy increase from $21 to $60 per month for each participating employee, which will be budgeted on a full-year basis.

+230	Adjustment for the Federal Employees' Retirement System (FERS).
-15	Adjustment for required payments for injury-related compensation costs paid under the Federal Employees' Compensation Act.
-469	Impact of government-wide initiative to reduce Federal employment. The budget for NHTSA assumes there will be a net reduction of 7 full-time equivalent (FTE) staff-years when the savings is converted to a full-year basis.
$ 46,247	FY 1994 level requested for salaries and benefits.

o Travel (+$55 thousand)

The requested increase of $55 thousand will provide for travel cost increases.

OPERATING EXPENSES (-$39 thousand)

The total budget for operating expenses is constrained as part of the government-wide initiative to reduce administrative expenses of Federal agencies. For FY 1994, this initiative requires a 3 percent reduction, after allowing for an inflation increase of 2.7 percent from the FY 1993 level. For NHTSA, this initiative results in an overall budget for operating expenses which is $39 thousand lower than provided in FY 1993. The reductions for FY 1994 are described below.

o Administrative Services (-$24 thousand)

There is a decrease of $24 thousand in the administrative services budget as a result of the mandated 3 percent cut in administrative expenses. Over 50 percent of the administrative services budget is devoted to billings from the DOT Working Capital Fund (WCF) and Reimbursable Agreements, providing limited flexibility in cost control. It is anticipated that the WCF estimates for FY 1994 will be comparable to the costs during FY 1993. The remaining efforts funded under the administrative services budget will be reviewed and scaled back or implementation delayed to accommodate the decrease in funding. Specifically, the effort to better utilize space through use of modular furniture throughout the agency will experience delays in implementation and cost reduction.

o Computer Support (-$8 thousand)

There is a decrease of $8 thousand reflected in the computer support area. The operations and maintenance of existing systems, including DOT mandated efforts, currently accounts for over 70 percent of the computer support budget.

Operations and maintenance support must also be provided in FY 1994 for systems being implemented during FY 1993, such as Local Area Networks (LANs) and the "Imaging" System, thus increasing the percentage of the computer support budget devoted to operations and maintenance. The remaining modernization efforts, specifically the enhanced user access to agency data bases and development of a tracking system for rulemaking, correspondence and contracts, will continue but at a slower pace. The agency's Information Resource Management (IRM) Strategic Plan will be reviewed to redefine priorities and implementation plans.

- Other Operating Expenses (-$7 thousand)

  As part of the initiative to reduce administrative expenses, decreases are also proposed for employee training and for operating expenses of NHTSA's field offices.

CONTRACT PROGRAM (+$1,485 thousand)

A net increase of $1.485 million is proposed for the contract program for FY 1994. Contract program requirements are fully justified under each budget activity.

No funds are assumed for consulting services during FY 1993 or requested for FY 1994.

OPERATING EXPENSES

EXPENSE CATEGORY	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
HQ OPERATING EXPENSES			
Personnel Related Costs			
Permanent Change of Station	$120	$120	$0
Grievance Administration	5	5	0
Security Investigations	20	20	0
Training	193	192	-1
Subtotal	338	337	-1
Administrative Services			
Travel	5	5	0
Transportation of things	130	130	0
Other Rent, Comm., & Util.	2,083	2,075	-8
Printing and Reproduction	1,056	1,052	-4
Other services	2,631	2,621	-10
Supplies and materials	140	139	-1
Equipment	187	186	-1
Subtotal	6,232	6,208	-24
Computer Support	2,150	2,142	-8
HEADQUARTERS, SUBTOTAL	8,720	8,687	-33
FIELD OPERATING EXPENSES			
Regional Offices	481	479	-2
San Angelo	335	334	-1
Vehicle Research and Test Center	645	642	-3
FIELD, SUBTOTAL	1,461	1,455	-6
TOTAL OPERATING EXPENSES	10,181	10,142	-39

NOTES:
(1) Of the total FY 1993 Headquarter's Operating Expenses, $4.6M is paid through the Working Capital Fund and $389 thousand is required for reimbursable agreements with OST. In FY 1994, the Working Capital Fund is estimated at $4.7M. The estimates for the OST reimbursable agreements are not available at this time.

(2) In FY 1993, OST issued new guidance on object classification of certain operating expenses. The principal object classifications affected were Transportation of Things (which currently includes Federal Express Services) and Printing and Reproduction (which currently includes Graphic Services). Both Federal Express and Graphic Services were previously classified as Other Services. Amounts have been restated in both the FY 1993 Appropriation and FY 1994 Request columns to reflect new guidance.

OPERATIONS AND RESEARCH
(Dollars in Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
RULEMAKING												
Permanent Positions:												
Headquarters	*69*	*0*	*0*	*69*	*69*	*0*	*0*	*69*	*0*	*0*	*0*	*0*
Plus: Mission Support	*26*	*0*	*0*	*26*	*26*	*0*	*0*	*26*	*0*	*0*	*0*	*0*
Total FTPs	*95*	*0*	*0*	*95*	*95*	*0*	*0*	*95*	*0*	*0*	*0*	*0*
Dollars:												
Salaries & Benefits	6,522	0	0	6,522	6,577	0	0	6,577	55	0	0	55
Travel	51	0	0	51	60	0	0	60	9	0	0	9
Operating Expenses	1,472	0	0	1,472	1,466	0	0	1,466	(6)	0	0	(6)
Contract Program:												
Vehicle Safety & Consumer Stds	705	0	0	705	500	0	0	500	(205)	0	0	(205)
New Car Assessment Program	2,220	0	0	2,220	2,460	0	0	2,460	240	0	0	240
Fuel Economy	0	0	0	0	961	0	0	961	961	0	0	961
Theft and Other	90	0	0	90	110	0	0	110	20	0	0	20
Subtotal, Contract Program	3,015	0	0	3,015	4,031	0	0	4,031	1,016	0	0	1,016
Total Dollars	11,060	0	0	11,060	12,134	0	0	12,134	1,074	0	0	1,074

OPERATIONS AND RESEARCH
(Dollars in Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
ENFORCEMENT												
Permanent Positions:												
Headquarters	91	0	0	91	91	0	0	91	0	0	0	0
Field, San Angelo	2	0	0	2	2	0	0	2	0	0	0	0
Field, Odometer	4	0	0	4	4	0	0	4	0	0	0	0
Plus: Mission Support	6	0	0	6	6	0	0	6	0	0	0	0
Total FTPs	103	0	0	103	103	0	0	103	0	0	0	0
Dollars:												
Salaries & Benefits	7,071	0	0	7,071	7,131	0	0	7,131	60	0	0	60
Travel	86	0	0	86	93	0	0	93	7	0	0	7
Operating Expenses	2,158	0	0	2,158	2,151	0	0	2,151	(7)	0	0	(7)
Contract Program:												
Vehicle Safety Compliance	4,852	0	0	4,852	5,400	0	0	5,400	548	0	0	548
Defects Investigation	2,163	0	0	2,163	3,038	0	0	3,038	875	0	0	875
Odometer Fraud	100	0	0	100	100	0	0	100	0	0	0	0
Subtotal, Contract Program	7,115	0	0	7,115	8,538	0	0	8,538	1,423	0	0	1,423
Total Dollars	16,430	0	0	16,430	17,913	0	0	17,913	1,483	0	0	1,483

OPERATIONS AND RESEARCH
(Dollars In Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
HIGHWAY SAFETY												
Permanent Positions:												
Traffic Safety Programs HQ	*0*	*82*	*38*	*120*	*0*	*82*	*38*	*120*	*0*	*0*	*0*	*0*
Field, Regions	*0*	*18*	*62*	*80*	*0*	*18*	*62*	*80*	*0*	*0*	*0*	*0*
Plus: Mission Support	*0*	*8*	*0*	*8*	*0*	*8*	*0*	*8*	*0*	*0*	*0*	*0*
Total FTPs	*0*	*108*	*100*	*208*	*0*	*108*	*100*	*208*	*0*	*0*	*0*	*0*
Dollars:												
Salaries & Benefits	0	8,776	5,503	14,279	0	8,867	5,533	14,400	0	91	30	121
Travel	0	384	210	594	0	363	250	613	0	(21)	40	19
Operating Expenses	0	1,918	330	2,248	0	1,864	375	2,239	0	(54)	45	(9)
Contract Program:												
Alcohol, Drug & State Prog.	0	7,797	0	7,797	0	11,253	0	11,253	0	3,456	0	3,456
Occupant Protection Program	0	5,087	0	5,087	0	5,773	0	5,773	0	686	0	686
Enforcement & EMS	0	2,746	0	2,746	0	2,203	0	2,203	0	(543)	0	(543)
Highway Safety Research	0	4,347	0	4,347	0	4,331	0	4,331	0	(16)	0	(16)
Records and Licensing	0	238	0	238	0	1,240	0	1,240	0	1,002	0	1,002
Jackson Memorial Trauma Ctr.	0	2,250	0	2,250	0	0	0	0	0	(2,250)	0	(2,250)
Hwy. Safety Info. Mgmt. Sys.	0	500	0	500	0	0	0	0	0	(500)	0	(500)
Model Acc. Rec. Sys.	0	1,000	0	1,000	0	0	0	0	0	(1,000)	0	(1,000)
Subtotal, Contract Program	0	23,965	0	23,965	0	24,800	0	24,800	0	835	0	835
Total Dollars	0	35,043	6,043	41,086	0	35,894	6,158	42,052	0	851	115	966

OPERATIONS AND RESEARCH
(Dollars In Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
RESEARCH & ANALYSIS												
Permanent Positions:												
Headquarters	*71*	*26*	*0*	*97*	*71*	*26*	*0*	*97*	*0*	*0*	*0*	*0*
Field, VRTC	*26*	*0*	*0*	*26*	*26*	*0*	*0*	*26*	*0*	*0*	*0*	*0*
Plus: Mission Support	*5*	*2*	*0*	*7*	*5*	*2*	*0*	*7*	*0*	*0*	*0*	*0*
Total FTPs	*102*	*28*	*0*	*130*	*102*	*28*	*0*	*130*	*0*	*0*	*0*	*0*
Dollars:												
Salaries & Benefits	7,003	1,922	0	8,925	7,062	1,938	0	9,000	59	16	0	75
Travel	86	32	0	118	101	29	0	130	15	(3)	0	12
Operating Expenses	1,771	486	0	2,257	1,764	484	0	2,248	(7)	(2)	0	(9)
Contract Program:												
Motor Vehicle Research	27,264	0	0	27,264	22,647	0	0	22,647	(4,617)	0	0	(4,617)
NCSA	9,632	5,868	0	15,500	8,969	8,969	0	17,938	(663)	3,101	0	2,438
Technology Transfer	26	14	0	40	26	14	0	40	0	0	0	0
Jackson Memorial	0	0	0	0	0	0	0	0	0	0	0	0
Subtotal, Contract Program	36,922	5,882	0	42,804	31,642	8,983	0	40,625	(5,280)	3,101	0	(2,179)
Total Dollars	45,782	8,322	0	54,104	40,569	11,434	0	52,003	(5,213)	3,112	0	(2,101)

OPERATIONS AND RESEARCH
(Dollars In Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
OFFICE OF THE ADMINISTRATOR AND STAFF OFFICES												
Permanent Positions:												
Headquarters	*48*	*15*	*0*	*63*	*48*	*15*	*0*	*63*	*0*	*0*	*0*	*0*
Less: Mission Support	*(18)*	*(4)*	*0*	*(22)*	*(18)*	*(4)*	*0*	*(22)*	*0*	*0*	*0*	*0*
Net FTPs	*30*	*11*	*0*	*41*	*30*	*11*	*0*	*41*	*0*	*0*	*0*	*0*
Dollars:												
Salaries & Benefits	2,060	755	0	2,815	2,077	762	0	2,839	17	7	0	24
Travel	50	13	0	63	50	19	0	69	0	6	0	6
Operating Expenses	465	171	0	636	462	171	0	633	(3)	0	0	(3)
Total Dollars	2,575	939	0	3,514	2,589	952	0	3,541	14	13	0	27

OPERATIONS AND RESEARCH
(Dollars in Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
GENERAL ADMINISTRATION												
Permanent Positions:												
Headquarters	*90*	*26*	*0*	*116*	*89*	*26*	*0*	*115*	*(1)*	*0*	*0*	*(1)*
Less: Mission Support	*(19)*	*(6)*	*0*	*(25)*	*(19)*	*(6)*	*0*	*(25)*	*0*	*0*	*0*	*0*
Net FTPs	*71*	*20*	*0*	*91*	*70*	*20*	*0*	*90*	*(1)*	*0*	*0*	*(1)*
Dollars:												
Salaries & Benefits	4,874	1,373	0	6,247	4,915	1,385	0	6,300	41	12	0	53
Travel	29	3	0	32	27	7	0	34	(2)	4	0	2
Operating Expenses	1,100	310	0	1,410	1,096	309	0	1,405	(4)	(1)	0	(5)
Contract Program:												
Program Evaluation	180	180	0	360	250	250	0	500	70	70	0	140
Metric Conversion	50	0	0	50	0	0	0	0	(50)	0	0	(50)
Strategic Planning	0	0	0	0	100	100	0	200	100	100	0	200
Economic Analysis	0	0	0	0	100	0	0	100	100	0	0	100
Subtotal, Contract Program	230	180	0	410	450	350	0	800	220	170	0	390
Total Dollars	6,233	1,866	0	8,099	6,488	2,051	0	8,539	255	185	0	440

OPERATIONS AND RESEARCH
(Dollars In Thousands)

	FY 1993 APPROPRIATION				FY 1994 CONGRESSIONAL REQUEST				FY 1994 OVER FY 1993			
	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total	O & R Federal	O & R Trust	Grant Admin.	Total
NHTSA TOTAL												
Permanent Positions:												
Headquarters	*369*	*149*	*38*	*556*	*368*	*149*	*38*	*555*	*(1)*	*0*	*0*	*(1)*
Field	*32*	*18*	*62*	*112*	*32*	*18*	*62*	*112*	*0*	*0*	*0*	*0*
Total FTP	*401*	*167*	*100*	*668*	*400*	*167*	*100*	*667*	*(1)*	*0*	*0*	*(1)*
Dollars:												
Salaries & Benefits	27,530	12,826	5,503	45,859	27,762	12,952	5,533	46,247	232	126	30	388
Travel	302	432	210	944	331	418	250	999	29	(14)	40	55
Operating Expenses	6,966	2,885	330	10,181	6,939	2,828	375	10,142	(27)	(57)	45	(39)
Contract Program	47,282	30,027	0	77,309	44,661	34,133	0	78,794	(2,621)	4,106	0	1,485
Total, NHTSA	82,080	46,170	6,043	134,293	79,693	50,331	6,158	136,182	(2,387)	4,161	115	1,889

OPERATIONS AND RESEARCH

Highlights Statement

The Operations and Research Appropriation provides funding for NHTSA's program activities as authorized by three major laws. The National Traffic and Motor Vehicle Safety Act provides for the establishment and enforcement of Federal safety standards for motor vehicles and associated equipment and research, including the operation of required testing facilities and the operation of the National Driver Register. The Motor Vehicle Information and Cost Savings Act, as amended, provides for the establishment of low-speed collision bumper standards; consumer information activities; odometer regulations; administration of automotive fuel economy standards; and anti-theft prevention. Under Section 403 of Title 23, United States Code, technical assistance is provided to the States to: develop, demonstrate and implement innovative countermeasures and processes proven to be effective in improving State and local highway safety problems.

For FY 1994, a program level of $130 million is requested for Operations and Research programs. A variety of information is presented as part of the detailed justifications for each budget activity funded from this appropriation: Program objectives and description; overview of the FY 1993 program; detailed program justifications for the recommended FY 1994 program; and a summary of NHTSA's recent accomplishments.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Program and Performance Statement

Rulemaking Programs. Provides for rulemaking activity relative to the promulgation of Federal motor vehicle safety standards for new and used motor vehicles, tires, and safety-related equipment; automotive fuel economy standards required by the Energy Policy and Conservation Act; international harmonization of standards; theft prevention and parts labeling; regulatory reform; and information on motor vehicle safety required by the Motor Vehicle Information and Cost Savings Act. The agency's Priority Plan and the ISTEA/1991 rulemaking provisions will guide the regulatory and other safety activities of NHTSA during FY 1994.

Enforcement Programs. Provides for the enforcement of programs described under the rulemaking activity, including manufacturer compliance with motor vehicle safety and automotive fuel economy standards, investigation of safety-related motor vehicle defects (and institution of recalls when warranted), surveillance of odometer tampering and enforcement of theft protection. Improvements in the receipt and usage of the Auto Safety Hotline data will be among key efforts in FY 1994, as will compliance with performance requirements for automatic crash and side impact protection, and child safety seats.

Highway Safety Programs. Provides for technical assistance to highway safety programs conducted by State and local governments, the private sector, universities and research units, and various safety associations and organizations. This assistance includes demonstration programs emphasizing alcohol and drug countermeasures, occupant protection usage, automatic crash protection, law enforcement, emergency medical and trauma care systems, traffic records, motorcycle riders, and pedestrian/bicycle safety.

A number of key activities are planned for FY 1994, including new older driver licensing programs, youth provisional licensing, traffic data to support prosecutors and judges, and further study of preventable death strategies in rural settings. New occupant protection activities will support the agency's safety belt use goal of 75 percent.

Research and Analysis. Provides motor vehicle safety research and development in support of major NHTSA programs, including the collection and analysis of data to identify safety problems, develop alternative solutions, and assess costs, benefits, and effectiveness. Research will continue to concentrate on improving vehicle crashworthiness and crash avoidance, plus a sound crash information program. The FY 1994 budget includes funding to continue a national accident data collection program to improve problem identification, regulatory reform, and program evaluation activities. Funding is continued for biomechanics research, the fabrication, test and validation phase for the advanced driver simulator at the University of Iowa (contingent upon the university securing $11 million in non-Federal cost sharing), and support of Intelligent Vehicle-Highway Systems (IVHS). A major priority is to continue to support improvement of State crash data systems which are increasingly of value to NHTSA's crash avoidance rulemaking and research programs; and implementation of a revised survey methodology for collecting data on safety belt use (to replace the discontinued 19-City Survey).

OPERATIONS AND RESEARCH

For expenses necessary to discharge the functions of the Secretary with respect to traffic and highway safety under the Motor Vehicle Information and Cost Savings Act (Public Law 92-513, as amended) and the National Traffic and Motor vehicle Safety Act, [$82,080,000] $79,693,000, to remain available until September 30, [1995: Provided, That the Secretary of Transportation shall not permit transfer of title of the national advanced driving simulator from the Government of the United States: Provided further, That no provision under this head shall be interpreted in a manner which would affect the site selection for the national advanced driving simulator] 1966. (Department of Transportation and Related Agencies Appropriations Act, 1993.)

OPERATIONS AND RESEARCH

(HIGHWAY TRUST FUND)

For expenses necessary to discharge the functions of the Secretary with respect to traffic and highway safety under 23 U.S.C. 403 and section 2006 of the Intermodal Surface Transportation Efficiency Act of 1991, to be derived from the Highway Trust Fund, [$46,170,000] $50,331,000, to remain available until September 30, [1995] 1996. (Department of Transportation and Related Agencies Appropriations Act, 1993.)

RULEMAKING PROGRAM

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RULEMAKING PROGRAM

Highlights Statement

The Rulemaking Program budget provides for the issuance of Federal Motor Vehicle Safety Standards under the National Traffic and Motor Vehicle Safety Act, automotive fuel economy standards under the Motor Vehicle Information and Cost Savings Act, and various consumer information programs authorized by both Acts. In addition, the Intermodal Surface Transportation Efficiency Act (ISTEA) enacted in December 1991, gives NHTSA responsibility for initiating a number of major rulemakings to improve vehicle safety.

Under the Motor Vehicle Information and Cost Savings Act, the Rulemaking Program provides for the planning, development, coordination, and proposal of corporate average fuel economy (CAFE) standards for passenger and non-passenger vehicles up to 8,500 pounds gross vehicle weight rating, and any adjustments to the CAFE standards that may be necessary. The Rulemaking Program also provides for developing vehicle crashworthiness data and disseminating this information to the public under the New Car Assessment Program (NCAP). Also, the program provides for developing regulations for the dissemination of vehicle theft protection information. And, as amended by the new American Automobile Labeling Act, the agency is required to develop regulations for labeling new passenger cars and light trucks to show the extent to which their parts are of domestic origin.

Under the requirements of the National Traffic and Motor Vehicle Safety Act, the Rulemaking Program enables NHTSA to develop and recommend safety performance test procedures, devices, criteria, and standards for vehicles and associated equipment. The Rulemaking Program involves the consideration of motor vehicle safety standard cost impacts, manufacturing lead-time requirements, and the relationship between new requirements, existing standards, and other design and performance aspects of motor vehicles.

The Intermodal Surface Transportation Efficiency Act of 1991 required NHTSA to initiate rulemakings in a number of areas: extending dynamic side impact protection for light trucks, vans and multipurpose passenger vehicles; addressing rollover protection and the safety of child booster seats; improving the design of seat belts and the braking systems of heavy trucks, considering such requirements as antilock braking; considering methods to reduce head injuries; amending the Occupant Crash Protection standard to require full front seat air bags; and exploring the need for additional brake performance standards, including an antilock brake standard for passenger cars.

RULEMAKING PROGRAM

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	95	95	0
Use of Funds:			
Salaries & Expenses	$6,573	$6,637	+$64
Operating Expenses	1,472	1,466	-6
Contract Program	3,015	4,031	+1,016
Total, Rulemaking	11,060	12,134	+1,074

Source of Funds:

The budget proposes funding from Operations and Research (Federal).

RULEMAKING PROGRAM

Contract Program Summary

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Vehicle Safety Standards	$620	$705	$500
New Car Assessment Program	1,950	2,220	2,460
Fuel Economy Program	179	0	961
Theft and Other Consumer Programs	40	90	110
Total, Rulemaking	2,789	3,015	4,031

RULEMAKING PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars In Thousands)		
Vehicle Safety Standards	$620	$705	$500

Program Objective

The objectives of the Vehicle Safety Standards Program are to identify safety problem areas; develop countermeasures; collect and analyze information to support the development of, and amendments to, Federal Motor Vehicle Safety Standards (FMVSS); and respond to questions, assertions, and comments from internal and external organizations on vehicle safety.

This program therefore makes it possible for NHTSA to achieve a number of key objectives regarding vehicle safety standards, including: arriving at regulatory decisions on the feasibility and practicality of regulatory alternatives; estimating safety performance levels of possible countermeasures; assessing the costs, benefits, and lead times needed to implement rulemaking alternatives; and helping NHTSA answer questions expeditiously that arise during the rulemaking process. The information produced in this program area therefore is available to meet the overriding objective of developing and issuing appropriate vehicle safety standards.

Program Description

The program involves continuing and completing work on priority rulemaking projects established by NHTSA, and addressing rulemakings initiated by petition. In order to manage this program in a timely fashion, the agency needs to obtain and analyze data and information on changes in automotive design and technology, and regulatory and non-regulatory alternatives to alleviating vehicle safety problems. The agency will continue to fund research and testing in high priority areas, such as: improved truck braking in heavy trucks, passenger cars, and light trucks and vans (LTV's); rollover crashes, including research on improved restraints, roof strength and innovative glazing; seat strength; child safety; and safety issues surrounding electric and other alternatively-fueled vehicles.

FY 1993 Program

Rulemaking activities:

- NHTSA expects to complete rulemaking on requiring antilock brake systems (ABS) on certain types of heavy trucks and trailers. Requirements would be stated in terms of performance criteria which allow broad latitude in system design, and thus avoid giving a competitive advantage to any particular manufacturer. Performance would be specified for both fully operational and partially failed conditions. The agency is gathering information from laboratory and fleet testing to refine its regulatory requirements and test procedures.

- The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA/1991) mandated that NHTSA undertake rulemaking to improve braking in light vehicles. A large amount of information is needed before the agency can begin to draft a regulatory proposal in this area. Collection of data on vehicle performance and information on the various types of ABS for light vehicles has been undertaken to define the areas of braking system performance that need to be addressed and to set performance levels.

- Cost, weight, and lead-time analyses have been undertaken to support various rulemakings mandated by ISTEA/1991, and for rulemakings such as upgraded seat back strength, vehicle stability, improved occupant protection systems, and alternatively-fueled vehicles.

- Occupant ejection from passenger cars, light trucks, and multipurpose vehicles, primarily through side windows, windshields, and sun roofs, is a major concern, particularly in rollover crashes. The agency has conducted research in this area and found that glass-plastic glazing in side windows may have the potential to reduce the likelihood that an occupant is ejected during a crash. However, NHTSA is concerned with problems of practicality related to the propensity of the plastic layer to become scratched or abraded in use. The agency is gathering the latest information on innovative glazing concepts to determine their value in preventing occupant ejection.

- Research has been initiated to anticipate and investigate potential safety problems presented by electric and other alternatively-fueled vehicles.

FY 1994 Budget Request Justification

A total of $500 thousand is requested for FY 1994, reflecting a reduction of $205 thousand compared with the amount appropriated for FY 1993. Funding was provided for FY 1993 for the specific purpose of research on electric vehicle safety. In addition, funds in FY 1993 have been allocated to support the rulemaking process in advance of the issuance of new and updated regulations mandated by ISTEA. This preparatory work generally will be completed by the beginning of FY 1994. The agency will then be in a position to make the majority of these final regulatory decisions during FY 1994. Therefore, NHTSA will need less funding in FY 1994 than in FY 1993. The FY 1994 request is the minimum level necessary to continue support for activities mandated by Congress and considered priorities of the agency.

Funding will be needed in FY 1994 in a number of the ISTEA rulemaking areas for the purpose of responding to anticipated public comments and refining test procedures before publishing final rules. This work during FY 1994 will be possible as a result of ongoing research, information gathering and rulemaking activities responding directly to ISTEA regulatory mandates involving issues such as LTV dynamic side impact; improved protection of occupants during rollover occurrences; improved performance for child booster seats and safety belts; consideration of antilock braking among a number of methods for improving large truck stopping and stability performance; new approaches that can reduce head injuries in vehicle interior impacts; implementing requirements for air bags in front seats in every new passenger vehicle; and exploring improved brake performance for passenger cars, including antilock brakes.

The program planned for FY 1994 provides funds for the following rulemaking activities:

- Cost and lead-time analyses will be completed to support the final regulatory decisions on the significant rulemaking actions required by ISTEA and comprising agency priorities. The FY 1994 effort will be based on rulemaking support work conducted in FY 1993 and earlier. Funding of $150 thousand will be required to conduct the cost and lead-time analyses.

- To address the injuries and fatalities that occur as a result of rollover crashes, a multifaceted approach is necessary that may include both crash avoidance and crashworthiness rulemakings. Work continues to identify actions that the agency can take to lessen the risk of death and injury from this type of crash, and this program activity is estimated to cost $150 thousand.

- In accordance with ISTEA/1991, NHTSA anticipates requiring antilock braking systems (ABS) on some types of passenger cars, light trucks, and multipurpose vehicles, or the agency may set performance standards for ABS equipment if an automatic braking system is installed. These requirements would be written in terms of performance criteria for the braking system or its components, to allow the greatest latitude in system design and not offer a competitive advantage to any particular manufacturer. Test procedures need to be developed to support these standards. The agency will require additional information to refine regulatory requirements and test procedures, at an anticipated cost of $100 thousand.

- In 1992, NHTSA initiated a program to investigate seat back strength. Laboratory testing costing $50 thousand is needed to define performance levels and test procedures before a regulatory decision can be made.

- NHTSA will follow the development of the new technologies for electric vehicles in order to anticipate the need for changes to existing standards or to develop new safety standards in areas such as isolation of electrical components; occupant isolation from energy sources; and crashworthiness of energy packages. This work is needed because of the unique design of electric vehicles. Also, work may be needed to complete rulemaking on the safety of vehicles propelled by compressed natural gas (CNG). This activity is expected to require funding of $50 thousand.

In support of the older driver program, NHTSA will take into consideration the physical frailties associated with aging in determining performance criteria for seatback strength, seat belt fit, and the light transmission performance of glazing.

Accomplishments

o ISTEA Requirements -- NHTSA met all ISTEA requirements by issuing advanced notices of proposed rulemakings (ANPRMs) in 1992: rollover protection; dynamic side impact testing of light trucks; child booster seats; ABS requirements for heavy duty trucks, buses, and trailers; and seat belt design. The agency also published NPRMs to mandate full-front air bags (December 1992) and to reduce head injuries (February 1993). Rulemaking on ABS for passenger cars will be initiated in 1993.

o Heavy trucks: Final rules on heavy truck conspicuity (December 1992) and on automatic brake adjusters (October 1992) were published; an NPRM on truck underride guards was published in 1992 and final action is expected in 1993. NPRMs addressing stopping distance requirements for hydraulic and air-braked trucks were issued in February 1993.

- Child safety: NHTSA published a final rule in 1992 on the safety related issues concerning adjustable child restraints. It also published a final rule requiring child restraint registration. Research was undertaken on the interaction between child booster seats and lap/shoulder belts.

- School bus safety: In 1992, NHTSA published final rules for improving school bus mirror systems and requiring additional emergency exits on large school buses. In January 1993, the agency published a final rule specifying requirements for wheel chair restraints on school buses.

- In accordance with ISTEA, the agency (in January 1993) published a consumer brochure on rear seat lap/shoulder belt retrofit kits. The brochure provides consumers with information on how passenger vehicles without lap/shoulder belts in the rear seat can be retrofitted with these safer systems. The brochure also includes a listing of vehicles for which retrofit kits are available, and provides consumers with crucial information on vehicle make, model, model year, and price of the retrofit equipment kits. Copies of the brochure are available free of charge to consumers through the agency's toll-free Auto Safety Hotline. The agency has also provided over 25,000 copies of the brochure to organizations representing motor vehicle manufacturers, dealers, insurance companies, and consumers for distribution to their members.

- Alternatively-fueled vehicles: Major foreign and domestic motor vehicle manufacturers have announced plans to produce vehicles using alternative fuels, such as alcohol, gaseous fuels, and electricity, and introduce them in the U.S. market in the mid-1990s. In order not to impede the development and advancement of these vehicles and associated technology, NHTSA has initiated rulemaking to modify existing standards as necessary for applicability to these vehicles, and to develop new standards to address safety hazards unique to them. In January 1993, the agency issued a final rule which addresses anti-siphoning requirements for alcohol fuel vehicles, and a notice of proposed rulemaking which addresses the fuel system integrity of compressed natural gas (CNG) vehicles. The proposal includes specific requirements for the fuel system integrity of CNG vehicles in a crash, and for CNG fuel tank integrity. The agency has also issued notices concerning the safety of electric vehicles.

RULEMAKING PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
New Car Assessment Program (NCAP)	$1,950	$2,220	$2,460

Program Objective

NHTSA work on consumer automotive issues is designed to plan and implement innovative programs which use market forces to encourage production of safer more economical motor vehicles. Goals of the consumer information and related programs are to stimulate voluntary efforts in the areas of motor vehicle safety and damageability in order to reduce the risks of fatalities and injuries to vehicle occupants and to minimize the economic costs of vehicle ownership. NCAP's general approach and objective is to develop relative crashworthiness and crash avoidance information for consumers to assist them in selecting and purchasing safer motor vehicles. Through implementation of this program, consumers have additional, more useful information on the comparative safety and damageability levels of various motor vehicles.

Program Description

The NCAP test program focuses on the two most frequent types of injury crashes, frontal and side impact. The frontal program is well established and is proposing to increase the number of tests, from 36 tests in FY 1993 to 39 tests in FY 1994, as will be described in detail in their respective sections. Side impact testing is a new program, and the test procedures are being developed in FY 1993. The agency program would be implemented with 15 vehicles in FY 1994, as described later. The NCAP test plans will reflect rapidly changing safety characteristics of the new makes and models.

The success of the NCAP program depends in large part on making the results useful to vehicle buyers. The agency continues to refine and expand information on crashworthiness provided to the public after the testing occurs. The narrative justifications which follow describe program activities responding to Congressional direction to improve the benefits to the public of the NCAP information.

FY 1993 Program

Frontal crashworthiness testing (including test dummy maintenance) and reporting on approximately 36 motor vehicles will be conducted at a cost of $1.4 million. An additional $200 thousand will be used to supply the test laboratories with the latest test dummies.

The side impact test development program will be completed at a cost of $620 thousand. This activity will establish the test speeds and protocols to aid the agency in determining whether to initiate a consumer information program on passenger car side impact crashworthiness in FY 1994. Side impact test devices will be procured and testing of approximately 10 passenger cars will be conducted.

Congress provided funding in FY 1992 for the purpose of improving the methods used by NHTSA to present NCAP test results and promote their use by car and LTV buyers in comparing the respective safety levels of new vehicles on the market. Contracts were awarded and studies will be completed in FY 1993 which will provide the agency with information for making these improvements.

FY 1994 Budget Request Justification

Frontal crashworthiness testing (including test dummy maintenance) and reporting results on about 39 motor vehicles is budgeted at $1.610 million. The increase from FY 1993 is due to $50 thousand in purchasing costs, $40 thousand required to cover additional instrumentation for the Hybrid III test dummy, and $120 thousand to expand the test program by three vehicles. With the continuing rapid change by the manufacturers to include safety improvements (airbags and better structures) in their vehicles, the agency needs to test as many vehicles as possible to maintain the most up-to-date comparative information for use by consumers in their purchasing decisions.

The NCAP activity will be enhanced by initiating side impact consumer information testing. In FY 1994, a total of $600 thousand will be used for side impact testing of approximately 15 passenger cars under the new NCAP test procedure developed during FY 1993. The resulting data from these tests on side impact crashworthiness will be made available to consumers.

Due to the phase-in of the upgraded side impact protection standard (FMVSS 214), it is expected that the 15 vehicles to be tested in FY 1994 will represent a substantial portion of the various vehicles required to meet the new standard. The $600 thousand requested will be used to purchase vehicles, conduct tests, maintain side impact dummies, and purchase deformable barriers. Side impact testing is the only viable method available for developing this consumer information. With this enhancement of NCAP, consumers will be provided with the relative crashworthiness of passenger vehicles in the two most common types of injury crashes, frontal and side impact. The agency's issuance of the upgraded side impact standard provides the basis for this NCAP enhancement. As shown by data, manufacturers have responded to the frontal test results of NCAP by the frontal crashworthiness of their passenger vehicles. A similar response is expected with the advent of NCAP side impact testing.

The balance of $250 thousand in the FY 1994 budget request will fund improvements and expansions of NCAP promotional activities, based on agency planning and study in FY 1993 and earlier. Funding will be used to implement these new methods and to produce effective videos for public service announcements and informative consumer brochures for distribution at strategic consumer locations. This effort will greatly increase consumer knowledge of the availability of NCAP data and make the information more understandable and useful to consumers.

Accomplishments

- Frontal impact tests on 321 passenger cars and 81 light trucks, vans, and multipurpose vehicles have been conducted since 1979. Thirty-five vehicles were tested in FY 1992 and 36 are expected to be tested in FY 1993. The performance data are made available to the public and industry through press releases and technical presentations.

- NHTSA implemented a succession of changes in content and presentation of NCAP test results in order to make the occupant safety information more understandable and useful to consumers when comparing vehicles for purchase. Beginning in FY 1991, NCAP press releases were expanded to include the projected NCAP test results of certain vehicles that had not undergone any design changes since the test results of the previous model year were released. This approach provides the comparative information on many of the available models much earlier in the model year (MY). For MY 1993 vehicles, information was available on 71 makes and models at the beginning of the model year and will be available on 107 makes and models with the completion of the FY 1993 NCAP.

- Under a voluntary optional program, NHTSA allows manufacturers to test vehicles which have previously been tested in NCAP and later modified by the manufacturer to improve occupant protection. Furthermore, manufacturers may also test new vehicles which have not been tested in NCAP but in which the manufacturer has incorporated innovative safety designs and wishes to have the safety performance of this new vehicle released to the public through the NCAP. The tests are monitored by agency personnel and are conducted by using NCAP test procedures. Manufacturers have tested seven vehicles in this program since its initiation in FY 1988. Test results from NCAP and the optional program have shown significant improvements in potential occupant safety in the frontal crash condition.

- Improvements made in the NCAP press releases in FY 1992 included arranging the list of vehicles in order from lowest to highest driver Head Injury Criteria (HIC) and including information on anti-lock brake availability and safety belt adjustable upper anchorages.
- Congress directed NHTSA to improve methods for presenting and promoting NCAP. As required by the House and Senate Appropriations Committees, the agency completed a report to Congress in February 1992 on the approach for making these improvements. Contract studies will be completed in FY 1993 to provide information for directing these improvements, and NHTSA will complete necessary changes to the process. The report to Congress also included a review of the benefits of NCAP and details on budget activities. A technical report on the historical performance of different auto manufacturers in NCAP tests will be completed and released to the public. A second report to Congress, promised by the agency, will be submitted later in 1993.
- Ten side impact tests were completed in FY 1992 and 10 more tests are being conducted during FY 1993. These tests permit NHTSA to assess the feasibility of a side impact consumer information program, and then to establish requisite test procedures. No technical problems were encountered in the FY 1992 tests.

RULEMAKING PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Fuel Economy Program	$179	$-0-	$961

Program Objective

The objective of the Fuel Economy Program is to monitor manufacturer progress in achieving established passenger automobile and light truck fuel economy standards, and to issue and amend standards whenever appropriate for conserving the nation's energy supply.

Program Description

In FY 1991, the Department initiated an independent study of fuel economy and safety issues by the National Academy of Sciences (NAS). The NAS study was completed in FY 1992 and it provided an assessment of important technologies for improved fuel efficiency. The results of this study provided the agency with information on future directions for fuel economy standards. One of the conclusions of the NAS report was that government agencies have little information on the costs of fuel economy technologies and general developments in the automotive industry. Thus, the agency plans to enhance currently available information on investment and capability of the automotive manufacturing industry.

FY 1993 Program

Funds were not appropriated for FY 1993.

FY 1994 Budget Request Justification

The FY 1992 NAS report concluded that government agencies needed a better understanding of the technical issues, costs, benefits, and risks of fuel economy regulation. Although NHTSA had a large program analyzing capabilities and costs for automobile manufacturers to revise product lines in order to improve fuel economy during the late 1970's, that information is now obsolete. In 1988, a small study of technology for improved fuel efficiency and costs was conducted. More recent work has begun to compile a database for general application from public sources on vehicle manufacturer capability, including production capacity and employment, product plans, and changes in facilities.

NHTSA is requesting funding of $961 thousand for FY 1994, and $60 thousand of that amount will be allocated to the plants and lines database. This database will be expanded to include manufacturer financial data, in order to permit the agency to more accurately assess the impact of potential fuel economy regulatory requirements on the financial health of manufacturers. This will require approximately $100 thousand.

The remaining $801 thousand will be applied to new initiatives to address the NAS Report's conclusion that government needs better information on technical issues, costs, benefits, and risks associated with the technological improvements for fuel economy. The funds will be used to finance a thorough study of emerging technologies that appear to have significant potential to improve light vehicle fuel economy. Technology will be analyzed for its possible fuel economy improvements, effects on vehicle emissions, relation of the hardware to other vehicle systems, lead time needed to develop and introduce the technology, impact on manufacturing of the new technology, the costs of developing, producing, and maintaining technology compared to fuel cost savings, and likely consumer reactions to new technology.

Since the effort to conduct such a thorough study will be significant, only a few technologies can be considered and these will be chosen by a consensus of which are the most important and feasible of recognized new technologies. Among those likely for investigation are variable valve timing, two-cycle engines, lean-burn combustion, direct injection diesels, ceramic engine components, and continuously variable transmissions. Each technology has potential for significantly improving vehicle fuel economy without compromising vehicle safety affected by weight reduction. These studies will assist the agency in establishing reasonable fuel economy standards that result in maximum savings in fuel without adverse effects on financial condition or vehicle safety.

Accomplishments

- Final rule issued in FY 1993 setting fuel economy standard for model year 1995 light trucks.
- In FY 1992, the agency received the report of the National Academy of Sciences panel on automotive fuel economy.

RULEMAKING PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars In Thousands)		
Theft and Other Consumer Programs	$40	$90	$110

Program Objective

The Theft Program seeks to reduce the incidence of automobile theft and reduce the burden of insurance on consumers. The objective of the American Automobile Labeling Act of 1992 is to provide consumers with information on manufacturing and assembly locations of motor vehicles and components.

Program Description

The Theft Program is designed to establish standards for the reduction of automobile thefts and to foster a reduction of consumer premiums for comprehensive insurance. The program will continue to provide reports on motor vehicle theft and insurance data.

The Labeling Act mandates labels for new automobiles that will inform the consumer of the country of origin of the parts of the vehicle.

FY 1993 Program

The program allocates funding of $90 thousand to develop theft occurrence reports in FY 1993. This permits NHTSA to issue consolidated information received from certain insurance companies (plus rental and leasing firms) regarding the number of vehicle thefts each calendar year, as well as the number of vehicle recoveries. NHTSA also reports on changes in comprehensive insurance rates and insurance company payments for stolen vehicles.

FY 1994 Budget Request Justification

The FY 1994 program is designed to continue to satisfy the current theft prevention law requirements. A funding level of $110 thousand is being proposed for FY 1994, which reflects an increase of $20 thousand over the FY 1993 level in order to expand the requirements to light trucks, vans, and sport utility vehicles. The agency will continue to obtain theft and recovery information, and also analyze and publish insurance information relating to the effectiveness of the parts-marking standards. Funding will be used by the agency to process and compile the voluminous theft, recovery and cost information that is being submitted to NHTSA annually by more than 30 insurance companies.

Accomplishments

- In FY 1992, the agency continued to promulgate actions required by Title VI of the Cost Savings Act to reduce and deter motor vehicle theft. The agency exempted five car lines which were equipped with standard equipment anti-theft devices from the parts-marking requirements. The agency also designated eight new car lines as likely high theft vehicles for MY 1994.
- During FY 1993, the agency will be issuing three notices of proposed rulemakings (NPRMs) proposing procedures for implementing the provisions of the Anti Car Theft Act of 1992. The new procedures will apply to manufacturers of car lines, light duty trucks with a gross vehicle weight rating (GVWR) of 6,000 pounds or less, and multipurpose vehicles. One NPRM will revise the median theft rate for designating likely high-theft vehicles. The remaining NPRMs will address the various amendments to the existing theft prevention regulations.
- During FY 1993, the agency will be issuing an NPRM on procedures for implementing provisions of the Labeling Act. Procedures would apply to both vehicle manufacturers and parts suppliers, and will be related to the Environmental Protection Agency (EPA) domestic content regulations under the Fuel Economy Program and U.S. Customs rules of origin.

ENFORCEMENT PROGRAM

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ENFORCEMENT PROGRAM

Highlights Statement

The Enforcement Program budget provides for enforcement of vehicle safety standards and other rulemaking actions, and the undertaking of safety defect investigations. Rulemaking activities, for which enforcement is conducted, include issuance of Federal Motor Vehicle Safety Standards for all motor vehicles and items of motor vehicle equipment; automotive fuel economy standards required by the Energy Policy and Conservation Act; and odometer regulations designed to prevent consumer fraud. The purpose of the Defect Investigation Program is to identify and remove vehicles with safety-related defects operating on the Nation's highways.

NHTSA's Enforcement Program has the vital responsibility of making certain that the public enjoys the safety benefits of the Federal vehicle safety standards. The program also investigates and uncovers vehicle defects that threaten the safety of motorists and others. These missions are accomplished by surveillance testing, technical investigations, and recall, when appropriate. The principal benefit is removing unsafe vehicles from the road, and consequently reducing the traffic fatality rate. This program therefore improves overall fleet safety.

The FY 1994 Vehicle Safety Compliance Test Program will ensure that motor vehicles and motor vehicle equipment comply with Federal Motor Vehicle Safety Standards, thereby providing the safety benefits associated with the standards. The compliance program will test 35 vehicles for compliance with the frontal crash protection requirements of the agency's safety standards. Testing will be conducted across the spectrum of vehicles, including all sizes of passenger cars, vans, pickup trucks, and sport utility vehicles. In addition, the Vehicle Safety Compliance Program will test all child seats in the marketplace against the requirements of the child seat safety standard. Through this approach, the American public can be assured of child seat safety. FY 1994 coincides with the effective date of the dynamic side impact safety standard for passenger cars. The issuance of the side impact standard was a significant step in highway safety and will provide annual savings of 500 lives and a reduction of 2,600 injuries. The requested funding will provide for the side impact compliance testing of 15 passenger cars in 1994. Compliance testing will determine whether new passenger cars comply with the performance requirements of this safety standard.

During FY 1994, the Defects Investigation Program will expand NHTSA's capability to respond to public demand for information on highway safety, and to consumer efforts to report safety defects to the agency. In calendar year 1992, 563,000 calls to our toll-free Auto Safety Hotline were received, a 30 percent increase over calendar year 1991. This indicates that consumers are interested in identifying potential safety defects in vehicles. As a result of the public's heightened awareness of the Hotline, NHTSA is continuing to improve its ability to receive and process consumer demand for highway safety information. We are also exploring programs to reach a significant number of consumers to draw them into a "partnership" with the agency's defect investigatory process. In fiscal year 1994, the Defects Investigation Program will obtain and analyze motor vehicle defects reported to the agency from the public through the Hotline and from other sources. Rigorous investigations will be conducted to determine whether such reported defects are creating an unreasonable safety risk. These investigations will include extensive laboratory testing in order to identify, analyze, and assess potential safety problems in vehicles. Vehicles are becoming increasingly more complex, particularly in terms of electronics, computer controls and alternative materials. These investigations will also include field inspections of vehicles and items of equipment. This extensive testing and field inspection protocol will provide more expeditious and rigorous conclusions regarding the safety consequences of potential defects. It also will provide a foundation on which to base an assessment of unreasonable safety risk for use in determining whether a safety recall is warranted.

ENFORCEMENT PROGRAM

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	103	103	0
Use of Funds:			
Salaries & Expenses	$7,157	$7,224	+$67
Operating Expenses	2,158	2,151	-7
Contract Program	7,115	8,538	+1,423
Total, Enforcement	16,430	17,913	+1,483

Source of Funds:

The budget proposes funding from Operations and Research (Federal).

ENFORCEMENT PROGRAM

Contract Program Summary

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Vehicle Safety Compliance	$4,415	$4,852	$5,400
Defects Investigation	1,982	2,163	3,038
Odometer Fraud	100	100	100
Total, Enforcement	6,497	7,115	8,538

ENFORCEMENT PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Vehicle Safety Compliance	$4,415	$4,852	$5,400

Program Objective

The objective of the compliance program is to ensure that all motor vehicles and motor vehicle equipment sold in the United States fully comply with Federal Motor Vehicle Safety Standards, thereby ensuring that the safety benefits associated with the standards are realized. This program supports NHTSA's mission of improving motor vehicle safety and the Department's management objective of reducing the fatality rate. This is accomplished by removing unsafe vehicles from the road. The Vehicle Safety Compliance program consists of testing, analysis and investigation, and this permits NHTSA to monitor manufacturer compliance with performance requirements in vehicle safety standards. In the event of noncompliance, this program will support the agency's safety recalls activity. This objective is accomplished by testing a representative sample of motor vehicles and motor vehicle equipment for the performance requirements established in the safety standards.

Program Description

Each standard has specific minimum performance requirements which must be satisfied by all vehicles and equipment subject to the standard. As determined during the rulemaking process establishing the standard, specific performance levels are defined which will provide safety benefits in the real world. Compliance with these minimum performance requirements will ensure that safety benefits are, in fact, realized. The compliance program assesses the degree to which vehicles and equipment comply with these minimum requirements. In instances of a test failure, a technical investigation is conducted to determine if, in fact, a noncompliance exists. This involves obtaining data from the manufacturer concerning certification that its product complies with the safety standard, and a comprehensive analysis by NHTSA to determine if a noncompliance exists. In the event that an investigation confirms the presence of a safety defect, NHTSA seeks a recall and remedy of the subject vehicle or piece of equipment. The program also supports litigation activities and assessment of civil penalties resulting from noncompliance. The Vehicle Safety Compliance program also enforces Federal regulations governing importation of motor vehicles and motor vehicle equipment. This program helps ensure that imports comply fully with all applicable Federal vehicle safety standards. NHTSA also uses this program to enforce manufacturer compliance with fuel economy standards, and to collect civil penalties in cases of noncompliance.

FY 1993 Program

During FY 1993, the Vehicle Safety Compliance program will procure and test vehicles and vehicle equipment for compliance with the requirements of the safety standards. Thirty-one of the 51 safety standards in effect will be tested, with 970 tests planned. The FY 1993 budget includes funds to expand testing to include 35 vehicles for compliance with the frontal crash protection requirements in NHTSA's safety standards. Additionally, the FY 1993 program will test all commercially available child safety seats to assess compliance with requirements in NHTSA's child seat safety standard. If test failures occur, technical investigations will be conducted in order to determine whether to proceed further with a full noncompliance investigation, followed by a recall of the subject vehicles or safety equipment. NHTSA will continue to enforce regulations governing vehicle importation, as well as vehicle manufacturer compliance with fuel economy standards and collection of civil penalties for noncompliance.

FY 1994 Budget Request Justification

The FY 1994 Vehicle Safety Compliance program will continue to emphasize the testing of vehicles and vehicle equipment for compliance with requirements of the safety standards. The program also will monitor importation of motor vehicles and equipment to ensure that they comply with Federal safety standards. Funding of $5.4 million, an increase of $548 thousand compared with FY 1993, is requested to provide a comprehensive compliance test program and to initiate testing of passenger cars for compliance with dynamic side impact requirements which become effective in FY 1994.

The compliance program for occupant crash protection in frontal crashes will consist of 35 vehicle tests, the same test level as in FY 1993. Many passenger car models will be available with both driver and passenger air bags and an increasing number of light truck type vehicles will have driver air bags. Thirty-five tests will provide for a comprehensive assessment of the frontal crash protection being provided by the new vehicle fleet. The compliance program will test all child seats on the market for compliance with all requirements in the Federal child seat safety standard. This will help assure the American public of improved child passenger safety.

FY 1994 is the effective date of the dynamic side impact safety standard for passenger cars. The issuance of this standard was a significant step in highway safety, and the new requirements are expected to save 500 lives and eliminate 2,600 injuries each year. Compliance testing will determine whether affected vehicles comply with the performance requirements and also ensures that the American public is receiving the safety benefits associated with this standard. The increase in requested funding will permit side impact compliance testing of 15 passenger cars in 1994.

A rigorous compliance test program, initiated as a standard becomes effective, has two important effects. First, motor vehicle manufacturers will strive to ensure that vehicles they produce meet the performance requirements by a wide margin, in order to minimize the risk of noncompliance. Second, such a test program is able to identify noncompliance early in the production year. Both of these effects will increase safety for the American public. Wide margins of compliance further reduce real world injury risks and thereby increase safety benefits. Prompt identification of noncompliance leads to fast removal of unsafe vehicles from the road.

Accomplishments

- Since the inception of the National Traffic and Motor Vehicle Safety Act in September 1966 through December 31, 1992, 3,260 investigations for possible noncompliance were initiated, of which 3,229 have been completed and closed.

- During this same period, 1,291 safety standard noncompliance recall campaigns were initiated, involving 9.5 million vehicles and 18.9 million equipment items. Of these, NHTSA influenced 527 recall campaigns involving 5.6 million vehicles and 16.7 million equipment items. Civil penalties collected for Safety Act violations total $3,511,450.

- Between December 1985 and December 1992, NHTSA collected $259,986,240 in corporate average fuel economy (CAFE) fines for vehicles not meeting the CAFE standards established for model years 1983 through 1991.

- The agency's testing of vehicles for compliance with Federal Motor Vehicle Safety Standard No. 208, "Occupant Crash Protection," has produced three safety recalls to correct safety problems with the automatic crash protection system. Compliance testing indicated safety recalls were necessary for: 13,374 MY 1991 BMW 318i's; 26,395 MY 1991 and 1992 Toyota MR2's; and 22,416 MY 1992 BMW 325i's. Additionally, 185,000 MY 1978-1992 school buses built on Navistar chassis were recalled because the buses did not comply with Federal Motor Vehicle Safety Standard 301, "Fuel System Integrity."

ENFORCEMENT PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Defects Investigation	$1,982	$2,163	$3,038

Program Objective

The Defects Investigation program is a major link between NHTSA and the motoring public. The program's Auto Safety Hotline provides highway safety information requested by consumers and obtains consumer defect reports to identify and remove unsafe vehicles from the highways. The Hotline disseminates information to motorists to enhance public information and education regarding highway safety. Consumer demand for information concerning motor vehicle safety and the reporting of motor vehicle defects continues at an unprecedented level. Further, consumer calls to the Hotline provide the foundation for NHTSA's Defects Investigation program. The objective of this program is to identify and remove vehicles with safety-related defects operating on the nation's highways. NHTSA achieves this objective by conducting comprehensive and expeditious defect investigations to identify safety defects. When an investigation indicates a safety risk, NHTSA works with manufacturers to ensure that owners are notified and that defective vehicles are remedied before crashes, injuries, and deaths can occur. This program provides direct support to the Department's management objective of removing unsafe vehicles from the road, thereby decreasing the fatality rate. This program also contributes to NHTSA's overall mission of improving motor vehicle safety.

Program Description

Consumer interest in the Defects Investigation program is demonstrated by the continued increase in calls to the agency's toll-free Auto Safety Hotline. During 1992, a total of 563,000 Hotline calls were received. This represents a 30 percent increase compared to 1991 and a 80 percent increase over 1989. This volume of calls represents a strong consumer demand for motor vehicle safety information and a desire to report potential safety defects. Information provided to consumers increases awareness of highway safety as a public health issue. The information and education provided by the Hotline serves to modify behavior and attitudes towards highway safety. Information provided by consumers provides important data used by the agency in its Defects Investigation program. The information leads to comprehensive defect investigations, including on-site vehicle inspections, owner surveys, laboratory testing, and detailed technical analyses, for the purpose of determining whether a safety-related defect exists. If these activities support a conclusion that a safety defect exists, a manufacturer is requested to voluntarily conduct recalls. If a manufacturer declines and the facts warrant, NHTSA formally orders a recall campaign. There are several major program benefits: fewer defective vehicles in operation; improved manufacturer awareness of responsibility to remedy defects; and increased public input as well as awareness about potential safety defects in their vehicles.

FY 1993 Program

In FY 1993, the agency will continue to respond to consumer demand for highway safety information and to report potential defects. Additionally, defects will be investigated to identify and remove unsafe vehicles from the road. The following supporting activities will be conducted in FY 1993:

- The Auto Safety Hotline will operate with a budget of $232 thousand and process an expected level of 563,000 calls requesting highway safety information and reporting potential defects. The Hotline staff obtains information directly from consumers and processes requests for recall and other vehicle information. Contract funds will provide basic improvements in the Hotline and data systems for its continued function and accessibility.

- NHTSA will conduct approximately 170 defect investigations at a cost of $1.752 million. This will involve: analyzing consumer reports to the Hotline; performing detailed laboratory tests; requesting information from manufacturers; examining failure trends in motor vehicle components; conducting owner surveys; monitoring vehicle service bulletins; and inspecting vehicles and parts to define alleged defects.

- NHTSA will use $179 thousand to conduct surveillance of manufacturer recalls to ensure that owners are notified, and manufacturers complete the corrective actions that are required. NHTSA also will pursue a program strategy to increase the percentage of recalled vehicles and items of motor vehicle equipment returned to dealers for corrective action.

FY 1994 Budget Request Justification

The Defects Investigation program request totals $3.038 million. This will expand the agency's ability to respond to public demand for information on highway safety and consumer interest in reporting safety-related defects in motor vehicles. Specifically, Defects Investigation will respond to the increasing consumer demand for information concerning highway safety. NHTSA will also obtain and analyze motor vehicle defects reported by the public over the Hotline and through other sources. The agency will conduct rigorous investigations to determine whether reported defects are creating an unreasonable safety risk. Conducting these investigations will cost $2.302 million in FY 1994, an increase of $550 thousand over FY 1993. These funds support extensive laboratory testing to identify and analyze potential safety problems. This is more difficult and expensive for passenger vehicles designed with more complex systems, particularly the areas of electronics, computer controls and alternative materials. These investigations also include field inspections of vehicles and related equipment. This extensive testing and field inspection protocol will provide more expeditious and rigorous conclusions regarding the safety consequences of potential defects. It also will provide a foundation on which to base an assessment of unreasonable safety risk for use in determining whether a safety recall is warranted. Another $179 thousand will be used to monitor actual safety recall campaigns.

Motorist calls to the Auto safety Hotline have increased annually in recent years. In 1991, the Hotline received 429,241 calls, and this increased to 563,000 calls in 1992. The agency anticipates that the number of calls to the Hotline will continue to increase in 1993, and the actual number of calls will be influenced by both the frequency and nature of defect investigations, safety recalls by NHTSA and vehicle manufacturers, and various agency programs, including release of safety information for consumer use. The rising level of Hotline use indicates that consumers are extremely interested in participating in the process of identifying potential safety defects in motor vehicles and items of motor vehicle equipment. As a result of the public's heightened awareness of the Hotline, for FY 1994, NHTSA is requesting funding of $557 thousand to improve its ability to receive and process consumer demand for highway safety information. The agency also plans to explore how to develop new ways to reach more consumers. This represents a $325 thousand increase over FY 1993, and will help draw consumers into a "partnership" with the agency's defect investigatory process. This will provide the American public with information and education regarding motor vehicle safety. The agency, in turn, will have an increased number of vehicle defect reports on which to base defect investigations. The result will be a more informed public with an enhanced awareness of highway safety, as well as an increase in defect reports to better define the scope and depth of a potential defect.

The program will expand its capability to receive and process information, and to respond to consumer demand for highway safety information and consumer reporting of potential defects. This will involve building greater awareness of the Auto Safety Hotline through public relation campaigns designed to increase familiarity with the Hotline. Emphasis will be given to both the ublic and specific organizations, particularly groups which have significant contact with segments of the public about motor vehicle-related subjects. These type of organizations include insurance companies, motor vehicle travel associations, rental/business fleets, vehicle licensing/registration entities, and truck stops. Special emphasis will be given to reaching older drivers. Data continues to indicate that older drivers are most susceptible to adverse safety consequences associated with changing vehicle design and advanced technology. Information from these organizations significantly increases the general public's awareness concerning older drivers and will provide additional information on safety problems.

Accomplishments

- From inception of the Vehicle Safety Act in 1966 through December 1992, 156.8 million vehicles were recalled as part of 4,458 campaigns to correct safety defects. The Defects Investigation Program directly influenced 659 recall campaigns involving 87.7 million vehicles.
- In 1992, a total of 137 defect investigations were opened and 154 were closed. A total of 9.05 million vehicles were recalled for safety defects and 71 percent of these vehicles were recalled as a result of influence from NHTSA's defects work.
- In 1992, 10 recall campaigns (involving 1.4 million vehicles) were conducted to remedy safety-related defects in safety belt systems. This helped to ensure that the safety benefits associated with this major program to increase safety belt use would be realized.
- In 1992, five recall campaigns, involving over 1.6 million child safety seats, were conducted to correct safety-related defects. These actions are consistent with the agency's belief that special efforts should be made to provide safe transportation for future generations.

ENFORCEMENT PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Odometer Fraud	$100	$100	$100

Program Objective

The objective of the program is to reduce odometer fraud by enforcing the Federal odometer laws and regulations through investigations for criminal prosecution and encouraging aggressive enforcement of State odometer laws.

Program Description

Odometer fraud falsely increases the value of used cars and fraudulently costs consumers buying such cars between $3.3 and $4.1 billion annually. Strong enforcement of the Federal and State odometer laws, i.e., prosecutions with stiff sentences, appears to be the most effective deterrent. Recognizing this need, Congress enacted the Truth in Mileage Act of 1986 which upgraded violation of the Federal odometer law from a misdemeanor to a felony. The small size of the Odometer Fraud staff limits NHTSA's ability to investigate alleged violations, and therefore emphasis is placed on encouraging State agencies to enforce State laws. NHTSA staff, in turn, assists the States in conducting their investigations.

The ongoing program to deter odometer fraud includes the following:

- Investigating large-scale odometer fraud schemes for prosecution by the Department of Justice.

- Assisting State enforcement agencies in aggressively enforcing their odometer laws.

- Monitoring State motor vehicle titling systems for weaknesses that facilitate odometer fraud and encouraging procedures to correct these weaknesses.

- Increasing public awareness of odometer fraud and rights of consumers.

The Agency's goal is to reduce billions of dollars in consumer fraud through an effective odometer enforcement program and an increase in consumer awareness.

FY 1993 Program

The $100 thousand appropriated for FY 1993 will be used to award contracts to four State enforcement agencies to accomplish the following:

- Filing of injunctions against violators and recovery of damages for defrauded consumers as provided for in Section 411 of the Motor Vehicle Information and Cost Savings Act of 1972, as amended.
- Studies to detect and correct weaknesses in State motor vehicle titling regulations and procedures which facilitate odometer fraud.
- Studies to support legislative action to strengthen State laws prohibiting odometer tampering.
- Sharing of data among State enforcement agencies in order to exchange intelligence information and techniques for investigations and prosecutions.
- Establishing multi-agency odometer fraud task forces.

FY 1994 Budget Request Justification

Enforcement support contracts totalling $100 thousand will be granted to four additional States. This effort will enhance the odometer enforcement program by publicizing the odometer fraud problem, enabling State enforcement agencies to establish and maintain more aggressive odometer enforcement programs. This will help achieve the goal of deterring odometer fraud. Two major trade associations, the National Auto Auction Association and the National Independent Automobile Dealers Association, have passed resolutions calling for strong enforcement of odometer laws at both Federal and State levels.

Accomplishments

From the inception of the odometer enforcement program in July 1978 through December 31, 1992:

- Conducted 979 investigations (involving 6,252 vehicles) which substantiated odometer violations. These investigations resulted in the following dispositions: 244 cases were referred to the U.S. Department of Justice for prosecution; 214 cases to NHTSA Chief Counsel for assigning civil penalties; 190 cases to State enforcement agencies for their own legal actions; and results of the remaining 331 investigations to consumers for private civil actions.

NHTSA cases were responsible for 150 criminal convictions in Federal courts, leading to prison sentences ranging from one month to 14 years and fines totaling $2.67 million.

Since the inception of the State Enforcement Support Contract program in 1989:

- Twelve contracts have been completed. State agencies which received contracts conducted 1,627 investigations and seven statewide consumer awareness programs, and almost $333 thousand for defrauded consumers during the contract period. Four contracts are still in progress.

HIGHWAY SAFETY PROGRAM

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HIGHWAY SAFETY PROGRAM

Highlights Statement

This section of NHTSA's budget describes the activities which form the cornerstone of the national highway safety program. These activities provide the bridge between demonstrating effectiveness of new measures in operational environments and transition into permanent use in State and local programs. If a demonstration confirms effectiveness, these new countermeasures are transferred to States and communities where they become candidates to be implemented statewide through the Section 402 State and Community Grant Program and other funding mechanisms.

The process of establishing objectives for each traffic safety countermeasure program was guided by programs that have proven to be successful and by goals deemed to be achievable in the future. Additionally, NHTSA's direction has been guided by requirements of the Intermodal Surface Transportation Efficiency Act (ISTEA). NHTSA also has updated its Priority Plan to ensure that specific milestones were identified to be accomplished in the coming years in order to achieve continued progress.

The primary objective of NHTSA's highway safety program is to reduce crashes, prevent injuries and save lives, by improving the performance of the human behavior. In 1992, highway crashes and the resultant injuries and fatalities cost the U.S. society over $135 billion in medical costs, property damage, lost productivity and other direct costs. Property damage amounted to nearly $46 billion and medical costs accounted for over $14 billion in societal losses.

Numerous studies of crash causation have shown that driver related factors account for 90 percent of these crashes. An effective highway safety program is key to reducing both crashes and costs. NHTSA anticipates that the Highway Safety Program can bring about over one billion dollars in annual health care cost reductions over the next few years.

Nearly 30 percent of the medical costs incurred in the first 12 months follwing a motor vehicle crash are paid from tax dollars, with two-thirds from Medicaid and one-third from Medicare. Thus, an effective highway safety program can be a significant means to contain the costs of this country's medical care system. In fact, NHTSA's entire budget can be justified on the basis of the reductions in Medicare and Medicaid payments that result from the agency's highway safety programs alone.

Consistent with the FY 1993 budget request to Congress, NHTSA's FY 1994 Highway Safety Program budget is presented in five categories: Alcohol, Drug and State Programs; the National Occupant Protection Program; Enforcement and Emergency Services;

Highway Safety Research; and State Motor Vehicle Services. Each program area is justified in detail.

There are major new thrusts to the Highway Safety Program that cut across the five budget categories. These thrusts have become technologically mature and are now ready for further refinement, development, demonstration and implementation. It is expected that these new areas will constitute an increasingly important part of NHTSA's Highway Safety Program activities.

Older Drivers

Considering their relative traffic fatality rates, computed on the basis of miles travelled, drivers over 70 rank second only to drivers 16-19 years old. The number of drivers over 70 will increase significantly by the year 2000.

This program's approach is to provide older drivers, family, friends, doctors, and licensing agencies with information on how physical and mental infirmities affect driving. NHTSA's goal is to help older drivers compensate for these effects, and limit their driving if necessary. Part of NHTSA's program involves giving State licensing agencies the information they need in making their licensing decisions.

Records and Licensing

Improved systems of traffic records and driver licensing are crucial to improving the safety performance of both the older and younger driver. Good records and licensing systems are essential for tracking and identifying repeat offenders, especially drunk drivers, so that appropriately severe sanctions may be imposed. Judges and prosecutors strongly urge the development and implementation of data systems that would permit on-line access of up-to-date arrest and conviction data to aid them in their decisions. Further, ISTEA specifically calls for linked data systems as part of State Safety Management Systems and for more uniform data nationally on traffic fatalities. Also, graduated licensing systems are required to provide increased flexibility to licensing authorities as young drivers enter the highway system and as older drivers leave the system.

The goal of this program is to demonstrate the applicability of data handling systems, which are well within the state-of-the-art, to provide prosecutors, judges, and licensing authorities with the data they need to perform their functions more effectively. NHTSA will provide direct assistance to States to support upgrades in their traffic records systems. The agency will also promote, demonstrate, and encourage the adoption of graduated licensing systems to provide family, physicians, judges and licensing authorities with a broader range of licensing alternatives than they now have in dealing with both the young and the elderly driving populations.

Rural Emergency Medical Services (EMS)

Sixty percent of all highway deaths occur on rural roads. Preliminary data from rural hospital medical cases indicate that over 30 percent of these deaths may be prevented by more appropriate emergency care. One study found that 70 percent preventable mortality was, reduced to 10 percent after a trauma system was implemented. In urban areas when comprehensive EMS systems are in place, preventable deaths typically do not exceed 5-20 percent. Data on rural preventable deaths, coupled with the high level of rural deaths, indicate that a substantial reduction in highway death is possible if rural emergency care were improved. According to NHTSA's estimates, each prevented fatality saves $700,000 in expenses borne by society. Funding for FY 1994 will provide additional rural preventable death studies, continue a project for Native Americans begun in 1993, and fund a rural EMS demonstration.

HIGHWAY SAFETY PROGRAM

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	208	208	0
Use of Funds:			
Salaries & Expenses	$14,873	$15,013	+$140
Operating Expenses	2,248	2,239	-9
Contract Program	23,965	24,800	+835
Total, Highway Safety	41,086	42,052	+966
Source of Funds:			
O&R Trust	$35,043	$35,894	+$851
Grant Administration	6,043	6,158	+115
Total, Highway Safety	41,086	42,052	+966

HIGHWAY SAFETY PROGRAM
Contract Program Summary

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
ALCOHOL, DRUG AND STATE PROGRAMS			
Alcohol Program	$4,540	$4,219	$6,475
Drug Evaluation & Classification	4,000	2,800	4,000
Pedestrian & Motorcycle Programs	778	778	778
Subtotal, Alc., Drug & State	9,318	7,797	11,253
NATIONAL OCCUPANT PROTECTION PROGRAM			
Public Info. & Education	2,500	2,101	2,245
Belt Law Compliance	1,800	1,282	1,730
Target Population Education	1,000	1,300	1,325
Evaluation and Technology Sharing	473	404	473
Subtotal, National Occupant Protection	5,773	5,087	5,773
ENFORCEMENT AND EMERGENCY SERVICES			
Police Traffic Services	1,250	1,203	1,225
Emergency Medical Services	853	1,543	978
Subtotal, Enforcement & EMS	2,103	2,746	2,203
HIGHWAY SAFETY RESEARCH			
Alcohol and Drugs	2,262	2,245	2,262
Occupant Protection	980	972	980
Older Driver Research	100	496	450
Pedestrian & Bicyclist	260	258	260
Speed & Unsafe Driving	379	376	379
Subtotal, Hwy. Safety Res.	3,981	4,347	4,331
STATE MOTOR VEHICLE SERVICES			
National Driver Register	4,288	*	*
Records and Licensing	240	238	1,240
Hwy. Saf. Info. Mgmnt. Sys.	0	500	0
Model Acc. Record System	0	1,000	0
Subtotal, State Motor Vehicle Services	4,528	1,738	1,240
JACKSON MEMORIAL	**	2,250	0
TOTAL:	25,703	23,965	24,800

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* Funding included in Grant Program section of the Budget justifications.

** Funding in the amount of $2 million is included in Research and Analysis Program in FY 1992.

ALCOHOL, DRUG AND STATE PROGRAMS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Alcohol Program	$4,540	$4,219	$6,475

Program Objective

The Alcohol Program's objective is to reduce substantially the number of alcohol-related traffic crashes, injuries, and fatalities. At the present time, alcohol-related crashes account for one-third of the total societal cost of crashes. NHTSA is however, making progress. Alcohol was involved in 46 percent of fatal crashes in 1992, down from 57 percent in 1982. This difference represents more than 3,500 lives saved in 1992, which represent a societal cost savings of $2.5 billion.

If alcohol-related fatalities were reduced to 43 percent of all fatal crashes over the next several years, an additional 1,850 lives per year would be saved, resulting in additional societal savings of almost $1.3 billion annually. NHTSA's alcohol programs therefore have been very cost beneficial in terms of lives saved and reductions in societal cost. However, it will be more difficult to sustain these reductions in the future since programs must reach "hard core", high-risk drinking drivers.

The NHTSA alcohol program provides the fundamental framework for the education enforcement and sanctioning activities that take place at the state levels. It is only through the development, refinement, and implementation of scientifically sound program strategies that the agency can hope to reduce the magnitude of this problem and realize these savings.

Program Description

The agency's two fundamental strategies, information-education and laws-enforcement-sanctions, are designed to work together. Data show that strict laws that are well-publicized, enforced effectively by police, and backed up by meaningful sanctions, reduce alcohol-related casualties. Impaired driving is reduced when the public believes that alcohol-impaired drivers will be detected, arrested, and sanctioned. Our programs support (1) easily-understood laws prohibiting alcohol-impaired driving (such as .08 BAC), (2) effective enforcement that detects impaired drivers and is visible to the public (such as checkpoints), (3) swift and sure sanctions for impaired drivers (with increasingly severe sanctions for repeat offenders), and (4) effective publicity for impaired driving laws, enforcement, and sanctions. .

Information-education programs use public health strategies to encourage safe, healthy behavior. NHTSA programs include activities to (1) influence public attitudes about drinking and driving, (2) assess whether impaired-driving offenders have alcohol-use problems and refer them to appropriate treatment, (3) encourage alcohol servers to be responsible for their patrons through server training programs, and (4) encourage employers to promote healthy and safe driving behavior through worksite programs.

The combined strategies are effective. Over the past 10 years we have seen increasing societal attention to impaired driving, changed societal attitudes (for example, in accepting designated drivers), improved impaired driving laws, and better enforcement. The bottom line: alcohol-related fatalities dropped from 25,165 in 1982 to 18,200 in 1992.

Our law-enforcement-sanction initiatives will improve alcohol laws and their enforcement for youth and will develop needed resources for judges and prosecutors. The information-education initiatives will use our research findings to target messages for the general public and for high-risk groups, especially among younger drivers. This work will be cooperative with other government departments (Health and Human Services, Justice and Education) and private organizations (corporations and activist groups).

FY 1993 Program

Several FY 1993 projects will assist impaired driving law enforcement and sanctions. NHTSA will conduct a large demonstration of sobriety checkpoints and will complete an evaluation of alcohol offender videotaping. The agency will provide information and technical assistance to police and communities in effective ways to enforce drinking and driving laws for youth, and will begin a demonstration of a model enforcement program. In particular, NHTSA will demonstrate the use of passive alcohol sensors to assist police in detecting low levels of alcohol, to support the enforcement of zero tolerance laws (under which it is illegal for persons under the age of 21 to drive with any measurable alcohol). A large demonstration of methods to prevent driving with a suspended license will be conducted, including the use of special license plate stickers to identify vehicles registered to such persons. NHTSA will promote the use of alcohol and drug problem screening for DWI offenders, so that judges may refer offenders to alcohol or drug treatment programs if appropriate. A program will be initiated to certify alcohol breath testing instruments at low alcohol levels.

Education projects will continue nationwide publicity of impaired driving issues through the Ad Council and Drunk and Drugged Driving Awareness Month activities. These public information programs have progressed so that they encourage specific actions to prevent impaired driving and to assist the agency's legislative and enforcement priorities. NHTSA will expand Network of Employers for Traffic Safety (NETS) to over 650 corporations. The agency will expand Techniques for Effective Alcohol Management (TEAM) activities with the newest TEAM members, the National Football League and the National Hockey League, to use their broad appeal to young males to deliver traffic safety messages and to promote responsible alcohol use at public facilities. Market research will be continued to explore effective methods of delivering traffic safety messages to hard-to-reach populations. This will lay the foundation for more effective future information and education programs.

FY 1994 Budget Request Justification

The agency will continue to assist states in passing priority alcohol laws, including administrative license revocation, .08 BAC for adults, and zero tolerance for youth, through the development of national coalitions, alcohol incentive grants, and technical assistance and information to states and advocate groups. New evaluation studies will add to the evidence supporting these laws' effects. A new initiative will assist law enforcement through training in video camera use, following our FY 1993 demonstration and evaluation. Assistance will be provided to the police through evaluation of breath test instruments. The agency will complete a program to certify these instruments at low BAC levels, in support of the Department's workplace alcohol rule which requires alcohol testing of transportation industry employees. Training in standardized field sobriety testing for law enforcement officers, who constitute the cornerstone of drunk and drugged driving enforcement efforts, will be revitalized and expanded.

Major law-enforcement-sanction initiatives will target youth and courts. The evidence indicates that both alcohol sales and drinking-driving laws are not well enforced for youth. NHTSA will conduct a major demonstration of a state provisional licensing system and develop an extensive program to increase drinking-driving law enforcement, based on research results. A model community youth alcohol program will be developed based on the results of the Washington area demonstration. Youth enforcement workshops being developed during FY 1993 will be implemented on a broad scale in order to train local police in effective methods of enforcing laws prohibiting underage drinking. In all activities the agency will work cooperatively with the Departments of Justice, Education and Health and Human Services.

For courts, NHTSA will actively develop recommendations of the Traffic Safety Summit II (June, 1991) as follows: information centers for prosecutors and judges, training in the prosecution and adjudication of alcohol and drug offenses, and a model system to provide rapid access to an offender's criminal and traffic records. These will be implemented through appropriate national or state prosecutorial and judicial organizations. Assistance will be provided to judges in dealing with repeat offenders by implementing improved screening methods to detect offenders' alcohol or drug use problems.

Increased national public information through the Ad Council will use our FY 1992-1993 research results to focus our alcohol safety messages and direct them to specific high-risk populations. Our cooperative corporate education program, NETS, will be implemented in over 1,000 companies and will be largely self-sufficient. The NETS funding will be used to develop worksite traffic safety policies and programs for younger workers. The agency will increase its use of the sports personalities and television time donated through TEAM, our coalition with sports leagues, facilities, and media, to reach millions of young males and other sports fans each year with increasingly effective messages.

To develop more effective alcohol programs, better data are required on why and how people drink and drive. Two new initiatives will help acquire these data. NHTSA will participate in a study of driver fatalities, conducted by the National Center for Health Statistics. Also, the agency will help fund a special study of alcohol-involved drivers in crashes through the National Accident Sampling System (NASS).

Accomplishments

- Designed and implemented a series of State Enforcement Workshops, to help overcome previously-identified obstacles to enforcing DWI laws for youth.
- Completed the second year of a Washington-area demonstration program to reduce drinking and driving by youth.
- Administrative license revocation promotion activities resulted in laws being introduced in more than ten states and enacted in four States: Idaho, Nebraska, New Hampshire and Ohio.
- Expanded NETS membership in 1993 to over 1,000 corporations which currently deliver impaired driving and safety belt use programs at worksites.
- Conducted in 1992 a highly visible and successful education campaign directed at high school and college students

through the National Collegiate Athletic Association and TEAM, using the slogan "You're not as cool as you think when you drink".

- Conducted state alcohol program assessments, to assist states in reviewing and improving their overall alcohol traffic safety program.
- Continued in 1992 the Ad Council and Drunk and Drugged Driving Prevention Month activities using the theme "Take the keys -- Call a cab -- Take a stand". Attracted substantial national and local publicity and many requests for more materials.
- Established the National Traffic Law Center in 1992 through the National District Attorneys Association to provide judges and prosecutors with advice on drunk driving prosecution, case law, and relevant research and technical information.
- Completed a study in 1992 of the obstacles to conducting frequent checkpoints.
- Completed survey in 1993 of all states to determine the existence and status of their DWI tracking systems.

ALCOHOL, DRUG AND STATE PROGRAMS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Drug Evaluation and Classification Program	$4,000	$2,800	$4,000

Program Objective

The program objective is to reduce the incidence of drug-impaired driving by training state and local police through the Drug Evaluation and Classification (DEC) program to identify drivers impaired by drugs other than alcohol. In addition to improving traffic safety, DEC-trained officers help reduce drug trafficking. The FY 1994 goal is to have DEC programs established in 27 states, with over 3,500 trained officers and certified instructors.

Program Description

The DEC process is a standardized and systematic means of examining a suspected impaired driver to determine: (a) whether the suspect is impaired; and if so, (b) whether the impairment is drug related or medical in nature; and if it is drug related, (c) the broad categories of drugs likely to have caused the impairment.

The DEC process employs post-arrest procedure that takes place in a controlled environment, such as a police station or jail facility. The process is not a means of determining the exact drug a person has taken, but rather allows the presence of drugs to be narrowed down to certain broad categories that have similar symptoms. This allows the DRE (Drug Recognition Expert) evaluation to be confirmed by a specific laboratory test, and it also allows DREs to relate the specific findings to the documented effects of the various drug categories. The drug evaluation process is standardized; officers are taught to perform the evaluation in exactly the same manner every time for every suspect. The process is systematic in that it is based on a variety of observable signs and symptoms that are known to be reliable indicators of drug impairment. A DRE's conclusion is based on the totality of facts and indicators observed, never on a single clue or element of the examination.

These facts are obtained from careful observation of the suspect's appearance, behavior, performance on psychophysical tests, eyes and vital signs. The drug evaluation consists of a twelve-step process, with each step performed in a prescribed sequence and manner.

The first major thrust of the program has been to establish DEC training programs quickly in all States where a DEC program is appropriate. Currently, programs are underway in 24 States and the District of Columbia. By the end of FY 1994, NHTSA's plan projects the program to be operational in 27 States. To accomplish this, NHTSA provides instructors and materials for conducting the program.

The program also has a strong public information and education element so that it can serve as an effective deterrent to potential drug-impaired drivers. Training for prosecutors is also an essential component of the program. The DEC program cannot achieve its intended impact unless drivers know that there is a very high probability that they will be detected, arrested, prosecuted and sanctioned if they attempt to drive while impaired by drugs or drugs in combination with alcohol.

In addition to training, an important aspect of the program is the development and assessment of new technology designed to evaluate suspected drug-impaired drivers, in order to provide police officers with devices that will assist their examinations. These devices are intended to either augment the evaluations conducted by the DREs or, in some cases, to replace certain manual measurements (e.g., pupil size) with more precise instrument measurements. The new technology must be evaluated to ensure that it accomplishes its intended goal, and that it meets judicial scrutiny as valid scientific devices.

FY 1993 Program

Training of Drug Recognition Experts (DREs) and DRE instructors will continue in DEC program States. Efforts to institutionalize the DEC program in developing and mature DEC States, and transferring DEC training management responsibility to the NHTSA regions will increase. A pilot program is underway in which a regional DEC manager coordinates all DEC training events and provides direct support to 16 States (3 regions) on implementation and institutionalization of DEC. This pilot will be utilized as a model for future regionalization of the DEC program.

A national public information and education campaign will be developed, focusing on the issue of the hazards of driving while under the influence of drugs. High-risk drivers will be targeted (i.e., youthful offenders), in an effort to reduce the crashes and injury caused by DUI-drugs. This effort will be continued during FY 1994.

Funding support to update the curricula will be provided to ensure that the latest data on drugs, and drugs and driving, are provided to the DREs. This effort, coordinated by the Office of Enforcement and Emergency Services, will be completed with assistance from the Technical Advisory Panel of the International Association of Chiefs of Police.

During FY 1993, the DEC program validation study with the National Institute for Drug Abuse (NIDA) and the Addiction Research Center (ARC) will continue. NHTSA views this research as critical for several reasons. The NIDA study provides a controlled environment in which the reliability of each individual step in the evaluation process can be assessed for its predictive value. By examining each evaluation factor, NHTSA can eliminate those portions of the evaluation that are less reliable, thereby streamlining the process while at the same time enhancing its accuracy in predicting drug impairment. The NHTSA/NIDA study also provides the setting for the evaluation of newly-developed technology, such as automated oculomotor testing devices, that offer the possibility of improving the accuracy of DREs' measurements of clinical indicators of drug impairment.

FY 1994 Budget Request Justification

Phase II of the DEC program evaluation study (being conducted with NIDA) will be completed during FY 1994. Future program implementation (e.g., modification of procedures, curricula revision, etc.) will be guided by findings from the Phase I study and preliminary results from Phase II. Technology evaluated in the laboratory study and found to be accurate and reliable will be demonstrated in a field setting during FY 1994 to determine its ease of use in a law enforcement setting. Transferability of the technology to other modes (e.g., FHWA, for Commercial Driver License enforcement) may also be considered.

The national public education and information program will be expanded. This effort, intended to deter drugged driving and the use of illicit drugs, will begin to focus on the enforcement aspect (i.e., "you will be caught and punished for driving while impaired by drugs"). It will also warn the public that they may lose their driver's license if confiscated for any drug offense, whether or not related to drugged driving.

During FY 1994, responsibility for managing the DEC training program will be fully transferred to the NHTSA regional offices, as authorized in Section 2006 of ISTEA. Results of the FY 1993 pilot program will be evaluated to enhance the implementation of Regional DEC coordinators who will oversee the program expansion in the States. Grants will be provided to new and developing States to pay for the development of an instructor cadre; the delivery of training to law enforcement officers, prosecutors, and judges; laboratory work needed to support training and certification; and the development of State management information systems to document program effectiveness. As the program expands within each State, NHTSA anticipates that the States will gradually take on full responsibility for operating the DEC program.

Accomplishments

- By December 1992, 24 states and the District of Columbia had implemented DEC programs. Two hundred law enforcement agencies are participating in the program. Several additional states expressed an interest in the program and requested a site assessment to determine their eligibility.

  Approximately 550 DEC instructors and 2,700 DREs (Drug Recognition Experts) had been trained by December 31, 1992.

- Transferred responsibility for managing the DEC training program to one region on a pilot basis. Under this pilot project, a regional DEC manager coordinates all DEC training events and provides direct support to 16 States (3 Regions) in implementation and institutionalization of DEC.

- Two appellate court cases have ruled that the DEC program meets scientific reliability requirements and acknowledged the DREs as experts, thereby providing the national program with legal support for program goals.

- In cooperation with the NIDA's Addiction Research Center, initiated a major study in 1992 using human subjects to evaluate the predictive validity of each of the individual subtests that make up the DEC evaluation. These data will be used to develop a more efficient and reliable version of the drug influence examination procedures. They may also be used to develop a reduced set of procedures that can be used by police at roadside to identify drugged drivers, as well as by other modes of the transportation industry in providing reasonable suspicion to request a urine drug test.

- Began evaluating in 1992 two oculomotor devices to determine if they can automate and improve the accuracy of the eye measurement portions of the drug evaluation process.

- Updated the curricula in 1992 for training law enforcement officers to reflect current information on drug symptomatology.

ALCOHOL, DRUG AND STATE PROGRAMS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Pedestrian and Motorcycle Programs	$778	$778	$778

Program Objective

The basic program objectives are to reduce pedestrian and bicyclist casualties by increasing the number of States and communities that address pedestrian and bicycle safety in their traffic safety programs and to reduce motorcyclist casualties by increasing the number of motorcyclists who are properly licensed and who wear motorcycle helmets. Special objectives are to improve the safety of elderly pedestrians through comprehensive environmental and behavioral programs and to improve the safety of schoolchildren walking to and from school buses.

Program Description

The agency's basic pedestrian program strategies are product development and technology transfer. While pedestrian and bicycle crashes produce about 17 percent of all traffic fatalities, states and communities have not given appropriate emphasis to pedestrian and bicycle safety activities. However, rulemaking was completed in 1991, and this added pedestrian and bicycle safety to the list of national highway safety priority program areas. During the last several years we have worked with public and private sector organizations including the Federal Highway Administration (FHWA) and the National Safety Council to develop a substantial number of new pedestrian and bicycle safety countermeasures, materials, and programs. The agency disseminates these programs and supporting materials through public and private sector organizations that have regular access to State and community safety officials.

The second strategy is to assist communities in demonstrating effective pedestrian and bicycle programs. The joint NHTSA/FHWA cooperative pedestrian safety grants help communities integrate behavioral and environmental countermeasures into comprehensive safety programs. In addition, NHTSA will demonstrate countermeasures developed in FY 1993 research to provide comprehensive pedestrian safety programs for elderly citizens and to improve pedestrian safety for elementary students who ride on school buses.

To reduce the numbers of serious and fatal head injuries suffered by bicyclists each year, a campaign will be initiated to increase voluntary bicycle helmet usage. Newly developed promotional and educational materials will be disseminated through a coalition of bicycle manufacturers, dealers, associations and user groups.

Proper licensing is vital to motorcycle safety. In order to be properly licensed, a motorcyclist must demonstrate the proper knowledge and skill to operate a motorcycle. In fact, 42 percent of all fatally-injured motorcyclists are unlicensed or improperly licensed. The agency's comprehensive strategy to improve motorcycle licensing includes urging all States to require a separate license endorsement; assisting the police in their enforcement of licensing requirements; publicizing these requirements to all motorcyclists through the motorcycle industry, motorcycle enthusiasts, and education groups; and assisting states in operating effective motorcycle operator licensing programs.

To increase motorcycle helmet usage, NHTSA will continue to provide technical assistance to states to support their efforts to pass motorcycle helmet use laws. Section 153 of ISTEA/1991 authorizes incentive grants to states with helmet laws that meet statutory compliance requirements, and provides for sanctions against certain Federal-aid funds of States without use laws in effect by October 1993. In order to promote greater safety by increasing voluntary use in states which do not yet have helmet laws in effect, the agency conducts cooperative helmet use promotions with motorcycle manufacturers, dealers, and rider organizations.

FY 1993 Request

The FY 1993 pedestrian program concentrates on providing technical and other resources to intermediary groups that have access to specific segments of the public and that can convey pedestrian safety messages to their constituencies. This project will assist these groups to develop their own programs and materials tailored to meet the needs of their audiences. The agency will begin a joint program with FHWA to promote proven pedestrian countermeasures within community traffic safety programs. NHTSA will complete development of a pedestrian safety program for elementary school bus riders and will complete development of a model comprehensive program for elderly pedestrians.

The FY 1993 motorcycle initiative seeks to reduce the number of unlicensed and improperly licensed motorcyclists. Law enforcement, licensing administrators, motorcycle enthusiasts, industry officials and educational groups will be consulted for the purpose of making motorcyclists aware of their responsibility to obtain a motorcycle operators license. Law enforcement officers will be trained to enforce motorcycle license laws. A technical assistance campaign will provide promotional materials and technical assistance to licensing programs in order to improve their motorcycle license testing and administration. Technical assistance to states will be continued in support of their efforts to pass motorcycle helmet use laws. The agency will continue cooperative programs to increase voluntary helmet use. Support will be provided by agency staff and outside consultants to both efforts, including analyses of helmet use effectiveness and of motorcyclist casualty trends.

FY 1994 Budget Request Justification

Recent rulemaking in the Section 402 formula grant program added pedestrian and bicycle safety as a National Priority area. In FY 1994 NHTSA will devote substantial efforts to technology transfer initiatives to provide states and communities with the results of pedestrian and bicycle research and development completed in FY 1993. The agency will continue a joint program with FHWA to help states and communities demonstrate research-based pedestrian countermeasures within community traffic safety programs. Along with FHWA, NHTSA will demonstrate a model comprehensive program for elderly pedestrians, based on research results to be completed in FY 1993. Also, a pedestrian safety training program will be demonstrated for elementary school bus riders, based on research to be completed in FY 1993.

Bicycle crashes cause over 600 fatal and 100,000 serious head injuries each year. Bicycle helmets have been shown to reduce head injuries by up to 85 percent. To reduce these casualties, the agency will initiate a campaign to increase voluntary bicycle helmet usage. Newly developed promotional and educational materials will be disseminated through a coalition of bicycle manufactures, dealers, associations and user groups.

Motorcycle helmets are the most effective countermeasure for reducing motorcyclist fatalities, and state helmet use laws achieve almost 100 percent compliance. The agency will continue to help states pass helmet laws through consultation and information to address opponents' issues. NHTSA's assistance will consist of furnishing States with technical study results, visual media for promotional purposes, and information relevant to issues and questions. Voluntary helmet use in states without helmet use laws will be increased through education programs implemented in cooperation with motorcycle manufacturers, dealers, and safety and rider organizations. The agency also will continue the national program to reduce the incidence of unlicensed motorcyclists involved in traffic crashes that began in FY 1993.

Accomplishments

- Added pedestrian and bicycle safety in November 1991 to NHTSA's list of National Priority areas for Section 402 through joint rulemaking by NHTSA and FHWA. To assist states in working with this new area, 14 NHTSA-FHWA joint grants were awarded to States to implement pedestrian safety programs within existing community traffic safety programs.

- Updated in August 1992 the elementary school pedestrian safety training program, already proven effective in improving pedestrian safety for school children, in order to recast it into a modern, useful format.

- Developed a training program to help law enforcement personnel identify alcohol-impaired motorcyclists on the road.

- Developed a training program to assist law enforcement personnel in identifying motorcycle helmets that do not meet Federal Motor Vehicle Safety Standard 218.

- In the past four years, six states (Oregon, Nebraska, Washington, Texas, California, and Maryland) enacted laws requiring all motorcyclists to wear helmets. Agency technical assistance and studies on safety benefits played a major role.

- Developed a national bicycle safety education and public information campaign in cooperation with the U.S. cycling team. The campaign includes a training video, public service announcements, and a complementary safety brochure.

- Motorcycle fatalities have decreased by 37 percent since 1980. While motorcycle registrations decreased 14 percent, vehicle miles travelled have increased by 70 percent since 1975. Despite increased exposure, rider deaths are declining.

- NHTSA and the Consumer Product Safety Commission in December 1992 jointly released a bicycle hang tag. The "hang tag" contains ten bicycle safety tips and is intended to convince potential bicycle purchasers to buy a helmet along with the bicycle. The hang tag is intended for display on bicycles at point of sale.

NATIONAL OCCUPANT PROTECTION PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Public Information and Education	$2,500	$2,101	$2,245

Program Objective

As indicated earlier, highway-related injuries and deaths are a major part of the national health care problem. Safety belts and child safety seats have proved to be one of the best ways to combat this part of the problem.

While safety belts are available in all passenger vehicles, only an estimated 62 percent of motorists wear them. Programs to encourage increased use of safety belts in several other countries such as Canada, Australia, the United Kingdom, Germany, and the Netherlands, have been successful in achieving usage rates in excess of 85 percent. By adapting and expanding upon the most successful elements of these programs, NHTSA expects to achieve national usage rates of 75 percent in the next few years. Use rates of this magnitude should result in an additional 3,200 lives saved each year and 56,000 injuries prevented. Thus, this program alone should yield an additional yearly societal savings in excess of $5 billion.

The main objectives of this program component are to generate widespread support for safety belt and child safety seat law enforcement efforts and to increase safety belt awareness in both the mainstream population and in "hard-to-reach" non-user groups. To sustain the current safety belt use levels and provide for further increases, it is necessary to keep the public informed about use law enforcement efforts and provide periodic reminders about the importance of regular safety belt use.

Program Description

Public Information and Education is a key element in the effort to increase safety belt usage, one of the agency's highest priority programs. Research has shown that enforcement, coupled with well organized publicity, is the most effective strategy for bringing about immediate and lasting increases in safety belt use. In reaching beyond the goal of 70 percent belt use by the end of 1992, the agency will continue to develop both enforcement-related and general awareness media materials. In addition, specially targeted messages and campaigns will be developed to reach a shrinking, but ever more resistant group of non-users.

FY 1993 Program

The FY 1993 program will capitalize on the public information efforts of the two prior years, during which the combined enforcement/public awareness approach was instrumental in producing the greatest two-year increase in national safety belt usage since 1985-1987 when the majority of safety belt usage laws were enacted. It will continue to emphasize informing the public about "the winning combination" of safety belt use and air bags, and it will incorporate new efforts to increase the correct use of child passenger safety devices. And finally, the program will support coalition building and public relations activities necessary to build grassroots support for more effective laws and law enforcement efforts.

To generate program activity throughout the year, States will be encouraged to support a "four seasons" approach as a replacement for the 1991-92 summer holiday safety belt campaigns. Media and education materials will be developed and distributed to the States to support this seasonal emphasis on safety belt usage and usage law enforcement, as well as the integration of occupant protection law enforcement into the everyday traffic law enforcement routines of local police agencies. In addition, the general awareness campaign, conducted in cooperation with the Advertising Council, will be continued. New messages and materials will be developed for special target groups, such as those with low reading skills, those with diverse cultural backgrounds and those for whom English is a second language.

FY 1994 Budget Request Justification

The modest increase in FY 1994 will be used to strengthen general awareness media efforts such as the Vince and Lary Campaign. The agency will continue its cooperative agreement with the Advertising Council to produce public service announcements, posters and print ads addressing the "winning combination" of air bags and safety belts, and the proper use of child safety seats.

Materials will be developed to support a new seasonal emphasis on intensified occupant protection law enforcement and publicity (i.e., periodic enforcement blitzes), and to generate public support for regular, day-to-day enforcement. In addition, public relations efforts such as national, State and local news events and media placement will be conducted in connection with two special emphasis weeks held each year (i.e., Child Passenger Safety Awareness Week and Buckle Up America! Week). Video news releases also will be developed and distributed. Much of the materials developed under this activity will be applicable to the general population; however, some materials will be developed for special populations identified through geo-demographic analysis and other investigations into high risk/low use group characteristics and information needs.

Accomplishments

- Implemented the second annual (1992) summer safety belt campaign, using the slogan, "Buckle Up - Avoid the Summertime Blues."
- Developed and distributed a full range of media materials for the 1992 "Summertime Blues" Campaign including 9.8 million campaign flyers, 50,000 Summer/Bummer posters, 40,000 media kits, 8,000 billboards, and 7,300 television and radio public service announcements (PSAs).
- Distributed media materials in 1992 in support of Operation Buckle Down, the year-round program to encourage support from police officers and the motoring public for seat belt use and seat belt law enforcement.
- Established the Oak Ridge Boys in 1992 as national spokespersons for Operation Buckle Down's celebrity-based campaign theme, "Seatbelts. Everybody's Wearing Them".
- Released a new wave of "Vince and Larry" materials in FY 1992, as part of the campaign to increase general public awareness of occupant restraints.
- Produced and distributed National "70% by '92" Safety Belt Program "Idea Sampler" containing ideas, resource information, and camera-ready art for use in organizing, promoting and conducting Child Passenger Safety Awareness Week and Buckle Up America! Week activities.
- Expanded the National Safety Belt Coalition to recruit public- and private-sector support for the National "70% by 92" Program.
- Conducted a series of national and State-level news events in 1992 to increase public awareness of the summer enforcement effort.

- Presented more than 1,000 "70% PLUS" awards to States and local jurisdictions which have documented safety belt usage rates of 70 percent or greater.

- Produced and distributed a 1992 Fall Planner containing program ideas for State and local program officials.

- Conducted celebrity media tours starring country singer Barbara Mandrell and basketball star Karl Malone reaching an estimated 14,000,000 viewers.

- Released in 1992 a series of press releases, radio programs and a video news release reaching a national audience of 10 million.

- Seven TV and seven radio stations, representing 12 major league baseball clubs, and 17 minor league radio broadcasters participated in the "Save of the Day" promotion using the relief pitcher warm-up period to remind patrons to buckle up.

- Distributed "Unrestrained Motorist" brochure and video in 1992 providing community leaders with ideas for promoting increased belt usage.

NATIONAL OCCUPANT PROTECTION PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Belt Law Compliance	$1,800	$1,282	$1,730

Program Objective

The objective is to increase the use of occupant protection systems through greater public compliance with State belt use laws and child passenger safety laws. Even though all new cars now come equipped with automatic crash protection systems, well-publicized law enforcement efforts are still needed to ensure that all occupants are fully protected. Air bags, for example, do not eliminate the need to buckle up. The FY 1994 program is intended to increase belt law compliance beyond the 62 percent level achieved in 1992.

Program Description

Projects in several U.S. cities have demonstrated that safety belt use rate gains of 10-30 percentage points can be achieved through highly publicized police enforcement. States such as California, Maryland, Oregon, and Texas achieved statewide usage rates at or very near 70 percent with similar programs, and Hawaii surpassed 80 percent. Vigorous enforcement and public awareness efforts in Canada achieved increases from about 55 percent in 1985 to over 80 percent by 1990 and over 85 percent in 1992.

Consequently, the National Occupant Protection Program has included a strong enforcement emphasis. During the 1991-1993 period, States were provided media materials to support their participation in a series of summer enforcement campaigns, and 45 States, the District of Columbia and Puerto Rico received grant funds to facilitate efforts to integrate elements of a Model Enforcement Program for Occupant Protection into daily traffic law enforcement operations (i.e., Operation Buckle Down). Largely as a result of these efforts, the greatest two-year increase in national safety belt usage was achieved since 1985-1987, when the majority of the usage laws were enacted.

FY 1993 Program

In FY 1993, more emphasis will be placed on "institutionalization," that is, making safety belt and child seat enforcement an integral part of every State's ongoing highway safety efforts. Program continuity will be required over the next several years if further increases in the national use rate are to be achieved.

Broad-based efforts to provide occupant protection training to law enforcement officers will be continued. Development of a self-instructional training program on video tape will be initiated to help police agencies implement more effective occupant protection enforcement programs. The new training program will be based on video technology which will make it much more accessible and convenient to law enforcement and other State and local agencies. In addition, a new stand-alone instructional unit on child passenger safety law enforcement will be developed.

NHTSA will continue to work through the International Association of Chiefs of Police, and other national law enforcement organizations in sponsoring a National Chiefs' Challenge to encourage State and local law enforcement agencies to implement the 7-point Model Enforcement Program for Occupant Protection.

NHTSA also will initiate a demonstration program to show how implementation of the Selective Traffic Enforcement Program (STEP) model can bring about significant and lasting increases in usage by focusing local law enforcement and community attention on five specific actions: 1) conducting news conferences to announce plans to emphasize usage law enforcement, 2) performing public information and education to explain the need for increased enforcement, 3) training officers about occupant protection systems, and usage law enforcement strategies, 4) increasing the number of citations issued, and 5) monitoring usage before and after the enforcement emphasis period. One STEP project will be devoted to child passenger safety law enforcement.

FY 1994 Budget Request Justification

The FY 1994 program will support States in their efforts to continue to upgrade their occupant protection laws and provide program materials that will help States make combined use law enforcement and public awareness activities a permanent part of their ongoing highway safety efforts.

Funding limitations in FY 1993 require a reduction in program activity, particularly reducing STEP operations from five to three sites. The increase in FY 1994 will be used to fund more STEPs and to support the anticipated growth in participation in the National Chiefs' Challenge.

In addition, the FY 1994 belt law compliance program will: 1) provide support for the remaining eight states to enact safety belt use laws; 2) provide support for all States to upgrade existing laws to make them more effective in promoting compliance; 3) institutionalize statewide Model Enforcement Programs for Occupant Protection in at least 40 States; 4) support periodic enforcement blitzes in all States; 5) promote and support training programs to increase officer motivation to enforce occupant protection laws; 6) initiate a comparable program for prosecutors and judges; and 7) develop and test strategies for mobilizing grassroots support for better laws, more active use law enforcement, and greater overall compliance.

Accomplishments

Since the beginning of 1991, the following use law compliance goals have been achieved:

- Five additional States enacted belt use laws for a total of 42 States, the District of Columbia and all U.S. Territories. These laws now cover over 93 percent of the U.S. population. All 50 States and U.S. Territories have child safety seat laws in place.
- Forty-five States, the District of Columbia and Puerto Rico adopted Operation Buckle Down programs by the end of FY 1992. Thirty-one States were operational in FY 1991 and 14 more states were operational by the end of FY 1992.
- At least 35 States actively participated in the 1991 Summer Safety Belt Campaign, and all States plus Puerto Rico and the District of Columbia reported some level of participation in the 1992 campaign. More than 1,500 local jurisdictions participated in the program in 1991, and over 1,900 jurisdictions participated in 1992.
- Under a cooperative agreement with NHTSA, the Law Enforcement Television Network produced and aired two 90-minute, three-part cable television shows and several five-minute roll call videos to encourage greater seat belt use by officers and more vigorous use law enforcement.
- Nearly all national law enforcement associations supported both Operation Buckle Down, and the 1991 and 1992 Occupant Protection summer campaigns. They included the International Association of Chiefs of Police, National Sheriff's Association, Fraternal Order of Police, and National Troopers Association.
- NHTSA co-sponsored the First Annual Chiefs' Challenge in 1992, an incentive awards program to encourage State and local police agency implementation of the 7-point Model Enforcement Program for Occupant Protection.
- Belt use in local participating sites increased by an average of 4 percentage points during the 1992 summer period. Five States reported usage rate gains of 20 percentage points (or greater) since 1991; eighteen others reported gains of 10 percentage points.

- The national use rate reached an all-time high of 62 percent in 1992, according to a population-weighted average of State usage surveys.
- In December 1992, fourteen States reported use rates above 70 percent; 8 others reported rates above 60 percent. In early 1991, only one State had exceeded 70 percent.
- Four national conferences were held to support the 1991 and 1992 summer campaigns and to support the "Operation Buckle Down" grant program.

NATIONAL OCCUPANT PROTECTION PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Target Populations	$1,000	$1,300	$1,325

Program Objective

The objective of this program component is to increase the use of safety belts and child safety seats within "high risk/low-use" groups. Target populations include parents of small children, teen parents, youth, minority groups, low income groups, rural populations, public and private-sector employers, and other organizations with potential to reach large numbers of non-users.

Program Description

Even though the national safety belt use rate reached 62 percent in 1992, high-risk subgroups exhibited much lower use rates. For example, although child safety seat use was reported to be 85 percent, at least one statewide observational survey reported usage as low as 20 percent. In addition, only 51 percent of children ages 5-12 were restrained. Safety belt use dropped to 26 percent for children ages 12-18. Other survey data indicate that rural, low-income, and minority populations have lower safety belt use rates than the general population.

FY 1993 Program

In FY 1993, this program will seek to move beyond the gains achieved by the National "70% by '92" Safety Belt Program. National organizations that interact with the various target populations will be urged to increase their involvement. Educational programs and messages will be targeted to youth ages 13-18 through a variety of national organizations.

The child passenger safety program will continue to emphasize the revitalization of State and local child passenger safety efforts by providing resource and promotional materials, and by conducting a series of technical child passenger safety workshops. A workshop dealing with advocacy and outreach strategies will be developed and pilot tested.

The National Safety Belt Coalition will be reconfigured to support upgraded safety belt laws, enhanced enforcement efforts, and increased private sector participation in promoting safety belt and child safety seat usage. The focus of the worksite program will be to publicize implementation of the pending OSHA safety belt rule, develop targeted materials for youth (ages

15-25), small businesses, and government agencies, and increase the visibility and membership of the Network of Employers for Traffic Safety (NETS).

FY 1994 Budget Request Justification

In FY 1994, NHTSA will develop and disseminate educational messages designed to increase belt use by part-time users as well as those who seldom, if ever, buckle up. These messages will be provided through State highway safety offices and national organizations that represent or interact with various target populations. Child passenger safety program efforts will be expanded with an emphasis on upgrading laws and enhanced enforcement, expansion of consumer information services, collection of child safety seat misuse information, and development and distribution of focused education and awareness materials to the States, national organizations, and employers.

As belt use increases, it will become necessary to target messages to groups in which belt use remains low. Activity will focus on using geo-demographic research to develop information on where these groups live in the greatest concentrations, and their preferred lifestyles, all of which can be used to formulate and deliver messages that are more likely to reach the intended audience and be favorably received.

In conjunction with NETS, efforts also will focus on targeting specific populations in the workplace, such as youth ages 15-25. In addition, promotional and training materials will be updated for employers and data will be collected showing how motor vehicle crashes are a major contributor to employers' health care program expenses.

Accomplishments

- Conducted a National Symposium for Child Passenger Safety in 1992 to enable advocates to discuss new technology, program initiatives, and to identify program needs and barriers to effective programming.
- Completed 18 Child Passenger Safety Workshops in 1992 for local advocates to stimulate their interest and involvement in revitalizing programs at the State and local level.
- Developed and distributed 4,500 information kits in 1992 which urged the medical community, volunteer organizations, and employers to support the national summer campaign.
- Developed and distributed 2 million safety belt handouts to the medical community.
- Conducted awareness training in 1992 for metro traffic

reporters to encourage them to include buckle-up messages in their daily traffic reports.

- Expanded private sector support beyond corporations traditionally involved in the "70% by '92" campaign, (e.g., a motel chain, a large Midwestern heating and cooling company, motor sports figures, and associations).

NATIONAL OCCUPANT PROTECTION PROGRAM

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Evaluation and Technology Sharing	$473	$404	$473

Program Objective

The objective of this program element is to evaluate the most promising safety program strategies and materials for increasing the use of occupant protection systems, and to encourage widespread adoption of successful programs by publicizing evaluation results, developing implementation guidelines, and distributing program manuals and materials to States and localities seeking to improve their programs.

Program Description

This program element supports one of the agency's highest priority programs, the National Occupant Protection Program. It does this by conducting special evaluation studies and taking advantage of NHTSA's network of regional offices to gather State and local program information. Descriptions of the most successful programs are disseminated, along with supporting data and program materials, to NHTSA's regional offices, the State highway safety offices, local communities and private sector organizations.

FY 1993 Request

The FY 1993 program will disseminate the results of the National "70% by '92" Safety Belt Program and identify State and local program strategies that should be included in the next generation of programs to increase safety belt and child safety seat use. A summary report, as well as promotional and educational materials needed to support a "four seasons" approach to replace the 1991-1992 summer holiday campaigns, will be developed and distributed. Also, materials will be provided to support conferences designed to foster technology transfer such as "Lifesavers" and the National Safety Congress.

NHTSA will continue to provide technical assistance to States requesting help in assessing their occupant protection programs.

FY 1994 Budget Request Justification

In FY 1994, the agency will continue to conduct evaluations of selected innovative occupant protection programs and to foster technology sharing among the States by summarizing and disseminating successful program strategies and materials in the form of program manuals, implementation guidelines, and informational brochures, videos, conference exhibits, and other media. Information from these Innovative Program Evaluations is fed back to the States for use in refining and improving their own programs.

The Information Management Service answers requests from State, local, and private sector organizations for materials to support public information and education efforts. For example, there are numerous requests for additional quantities of "Vince and Larry" materials after the initial distribution is completed by the Advertising Council. This service provides materials to organizations in the quantities requested, and for large requests, NHTSA lends reproducible negatives to State Highway Safety Offices, local program organizers and employers.

In addition, emphasis will be placed on development of:
1) promotional and instructional materials for implementing the Model Enforcement Program for Occupant Protection; and
2) materials such as idea samplers and program guidelines and manuals for use by highway safety professionals in planning and conducting their State and local program activities.

The Occupant Protection Assessment Program will continue to support on-site, in-depth reviews of State occupant protection programs using a team of program and evaluation experts. These reviews provide States with an objective assessment of the strengths and weaknesses of existing programs, and provide recommendations for program action tailored to local conditions and resources. In some cases, contacts will be made following an assessment to document actions that States have taken to correct weaknesses to determine barriers that remain, and to assess what forms of Federal assistance might be most useful.

Accomplishments

- Filled over 800 orders per month for occupant protection information and materials in FY 1992, twice the volume of previous years.

- Completed two innovative program evaluations in FY 1992, and completed three State Occupant Protection Program Assessments in FY 1992, for a total of nine State program assessments.

ENFORCEMENT AND EMERGENCY SERVICES

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Police Traffic Services	$1,250	$1,203	$1,225

Program Objective

Law enforcement is a critical part of every traffic safety program. Their active and informed participation is essential to reaching all traffic safety program goals.

Excessive speed (exceeding posted speed limits and driving too fast for conditions) is one of the most prevalent factors contributing to crashes. About one-third of all fatal crashes are speed-related. NHTSA estimates that the economic cost of these speed-related crashes exceeds $10 billion per year. If a ten percent reduction could be achieved in speed-related fatalities, as many as 1,500 lives could be saved along with substantial costs to society.

The overall objective of Police Traffic Services (PTS) is to increase the effectiveness and efficiency of traffic enforcement by providing direct technical assistance with advanced technology that will support increased traffic enforcement while reducing both motor vehicle crashes and criminal activity, including drug use and other serious violations. The FY 1994 budget request also will continue the activities outlined in the agency's Speed Enforcement Program Plan submitted to Congress in March, 1991.

Program Description

The PTS program has focused its efforts on four major initiatives: technology transfer, demonstrations, speed enforcement, and technical assistance. Enforcement programs dealing with the drunk and drugged driver, the use of safety belts, and child safety seats are included in the Alcohol, Drug and State Programs and the National Occupant Protection Program budget requests.

PTS support concentrates on integrating traffic safety into law enforcement agencies' overall enforcement program by implementing effective initiatives that reduce both traffic crashes and criminal activity. NHTSA's emphasis is on increasing speed enforcement activities, promoting effective public information and education programs, expanding the use of new technology, providing technical assistance, and improving commercial vehicle safety and enforcement. In addition, establishment of traffic safety as a priority issue for law enforcement officials is needed in order to increase highway safety. A major effort of PTS is to identify and utilize new, labor-saving technology to help improve the productivity and efficiency of traffic enforcement operations.

FY 1993 Program

The FY 1993 program objective is to reduce crashes and increase traffic enforcement. The emphasis is on expanding efforts to improve effectiveness, efficiency and productivity. The highlights of the FY 1993 program are: expand the use of new speed enforcement equipment; determine the effectiveness of new labor-saving technology; conduct statewide PTS assessments; expand the National Sheriffs Association's rural program; provide technical assistance to FHWA on commercial vehicle traffic enforcement; complete studies of the effect of traffic enforcement on crime; continue, in cooperation with National Institute of Standards and Technology (NIST), the development of model performance specifications and testing protocols for new speed measurement devices; and, provide technical assistance on traffic enforcement to the States.

FY 1994 Budget Request Justification

NHTSA will document and distribute the results of three speed demonstration projects that are assessing the effectiveness of photo-radar and laser speed measuring devices. The study of the effects of traffic enforcement on crime will be completed. Operational guidelines for States will be developed based on the results of this study.

NHTSA will continue to promote and support the statewide PTS assessment programs. Technical assistance will be provided in implementing the assessment recommendations.

NHTSA will build on the Rural Traffic Enforcement Initiative demonstration projects conducted through the National Sheriff's Association and expand it to agencies nationwide. The agency will complete the update of traffic related standards developed a decade ago by the Commission on Accreditation for Law Enforcement Agencies. The agency's goal is to reinforce the emphasis on traffic enforcement by providing up-to-date voluntary traffic standards needed to receive national accreditation.

To gain support for speed compliance, enforcement programs must be supported by focused public information and education (PI&E) efforts. The focus will be on the dangers of excessive speed. The model performance specifications and model testing protocols for new advanced speed enforcement and laser speed measurement devices will be completed by the NIST. The International

Association of Chiefs of Police (IACP) testing laboratories will be upgraded to conduct the required test.

NHTSA, in cooperation with enforcement and training officials, will develop training programs for automated speed enforcement and laser speed measurement devices. The law enforcement community is dependent on NHTSA for current traffic-related training materials and, when needed, updated curricula on techniques, case law and operations.

NHTSA, in cooperation with FHWA, will continue to promote increased enforcement of commercial vehicles that violate traffic laws, by providing technical assistance to law enforcement agencies.

In sum, the delivery of PTS programs is focused on providing services and assistance to law enforcement through demonstration projects; technical assistance; training materials; technology transfer; and model enforcement guidelines and strategies.

Accomplishments

- Developed/distributed Drone Radar Operational Guidelines in 1991.
- Published and distributed "Beyond the Limits: A Law Enforcement Guide to Speed Enforcement" in 1992.
- Developed and distributed "Police Fleet Safety: A Seminar for Police Executives on Risk Management, Liability Issues, Enforcement Strategies and Operational Policies".
- Developed and distributed VASCAR Training Curriculum in 1992.
- Certified over 2,400 drug recognition experts (DREs) and more than 500 DRE instructor's as of December 1992.
- Trained over 152,500 police officers in standardized field sobriety testing (SFST) as well as 547 SFST instructors as of December 1992.
- Produced and distributed 5,000 occupant protection and enforcement roll call video tapes in 1992.
- Trained over 10,200 officers as instructors on occupant protection usage and enforcement from 1990-1993.
- Conducted two statewide police traffic services assessments: Louisiana in 1991 and Alaska in 1992.
- Increased the use of the Law Enforcement Television Network for delivery of traffic enforcement training and information.

ENFORCEMENT AND EMERGENCY SERVICES

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Emergency Medical Services	$853	$1,543	$978

Program Objective

The mission of Emergency Medical Services (EMS) is to reduce death and disability from highway crashes by enhancing EMS systems in both rural and urban areas. According to NHTSA's estimates, each fatality prevented could save $700 thousand in costs to society. Even greater savings could result from preventing and reducing long-term injuries. The following objectives are aimed at this goal: to improve State EMS systems through a partnership of Federal, State, and local officials combined with technical EMS and trauma experts to assess and identify EMS system deficiencies and provide recommendations for improvements; to evaluate rural preventable mortality to determine where in the continuum of care highway crash victims are dying and where to focus limited Federal, State, and local resources; to conduct demonstration programs to help rural States and communities demonstrate and evaluate strategies for reducing fatality rates in rural areas, particularly in those areas with a large Native American population; to revise and update EMS national standard curricula to ensure a highly trained cadre of EMS providers at all levels; to provide technical assistance to implement and improve trauma systems, EMS access, communications, EMS system management, and public information and education; and to adopt voluntary standards.

Program Description

Since the mid-1960's, NHTSA has focused on enhancing emergency medical services for the highway injury crash patient. Research has proven that "getting the right patient to the right hospital in the right amount of time" has a positive impact on patient outcome. From statewide EMS Assessments, NHTSA has learned that states lack a number of important elements for successful EMS systems: leadership by a central lead agency; comprehensive legislation; system funding; medical direction; appropriate levels of training for prehospital providers, public information and education programs, and effective programs for quality assurance and evaluation. States have used assessment recommendations to improve their EMS programs, and NHTSA will continue to provide technical assistance. NHTSA will complete the remaining EMS assessments. An expanded technical assistance effort will focus on specific problems identified through the assessments, particularly problems facing rural EMS systems. In 1992, a rural preventable mortality study was conducted in Montana to determine where, in the continuum of care, preventable deaths involving highway crash victims occur. Two additional rural preventable mortality studies will be completed to augment findings from the 1992 study and trend results will be developed to identify where to focus limited Federal, State, and local resources to improve patient outcome. NHTSA's rural focus also will target the Native American population. The agency will continue to update the Emergency Medical Technician (EMT) National Standard Curricula to provide a national minimum standard of care for all prehospital providers.

FY 1993 Program

Major activities planned in FY 1993 are State assessments and technical assistance to the States in implementing assessment recommendations. EMS assessments will be completed in additional States, bringing the total to 42 States. NHTSA will continue its partnership with States and communities to improve trauma systems. The agency will initiate two additional rural preventable mortality studies to identify where in the continuum of care patients are dying, and identify where to focus limited resources at the Federal, State, and local level. A rural demonstration project will be initiated to improve rural EMS systems and increase the survivability of highway crash victims in rural areas. NHTSA will promote implementation of the bystander care training program to educate the public on what to do before an EMS unit arrives, particularly in rural areas. This rural demonstration will serve as a model for other States to improve their EMS system and impact on patient outcome in rural areas. Liaison activities with the Bureau of Indian Affairs and the Indian Health Service will be continued in order to assess EMS systems serving Native American populations. In addition, the EMT-Basic national standard curriculum update will be completed. The agency will continue work begun in FY 1992 to create uniform data definitions and minimum prehospital data bases.

NHTSA's partnership with the U.S. Fire Administration will continue as we support a national public information and education campaign for EMS. The agency will continue to coordinate activities with other Federal agencies, national organizations, and state and local communities on public health and highway safety issues.

FY 1994 Budget Request Justification

At the FY 1994 request level, NHTSA will be able to continue providing technical assistance through its EMS technical assistance program. For those States which have participated previously in this program, technical assistance will focus specifically on problems identified in the technical assessment report. It is essential to assist states in enhancing their EMS and trauma systems, given that these systems can reduce preventable mortality by 20-30 percent and return over 95 percent of the traumatically-injured patients to normal, productive lives. This need to focus on preventable mortality is even more critical in rural areas where the majority of motor vehicle crashes occur. The agency will complete two additional rural preventable mortality studies (planned for initiation in FY 1993). An earlier rural preventable mortality study by NHTSA showed that preventable deaths are much higher in rural areas. Since the first study was based only on one State, it is imperative to conduct at least two additional rural preventable mortality studies. A major program initiative addressing rural EMS systems involves a focus on the needs of Native American groups. At the same time, the rural demonstration program will be expanded through technology transfer, and it will focus on strategies to reduce morbidity and mortality in rural State EMS systems.

NHTSA will continue to update the national standard curricula which serve as standardized training criteria for the States. The agency will update the First Responder (police, fire and EMS) and EMT-Intermediate national standard curricula. It is essential that prehospital providers remain up to date on new medical and educational technologies, particularly in rural areas where most providers are volunteers, turnover rates are high, and skills can degrade quickly.

Efforts with the public health community will be increased to provide education on the magnitude of the highway trauma injury problem, and to stimulate their support and advocacy for traffic safety issues.

Accomplishments

- EMS Assessments completed in 35 states as of April 1993.
- Eighteen "Development of Trauma Systems (DOTS)" seminars conducted in 17 states.
- Completed Rural Preventable Mortality Study in 1992.
- Developed and distributed October 1992 Bystander Care National Standard Curriculum.
- Developed and promoted public information and education campaign on how and when to access the EMS system.

- Co-sponsored in 1992 and participated in the implementation of Trauma Care Systems Planning and Development Act of 1990 administered by the U.S Department of Health and Human Services.

- Supported computerized national on-line directory of all EMS and trauma information.

HIGHWAY SAFETY RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Alcohol and Drug Research	$2,262	$2,245	$2,262

Program Objective

The primary objective of the alcohol and drug research activity is to develop and test methods and programs for reducing impaired driving. In the drug area, research is focused on determining which drugs are the most hazardous so that State programs can be focused on these drugs, and on developing procedures to help police identify drug-impaired drivers.

Program description

Alcohol remains a major highway safety problem area. Other drugs such as marijuana and cocaine may increase crash risk. Solving the safety problem posed by driving under the influence of alcohol and drugs is clearly an agency priority. The States have the responsibility of implementing programs that will reduce alcohol and drug impaired driving. However, programs for accomplishing this may not exist, and for existing programs, information regarding cost effectiveness is often lacking. Given this situation, States and localities look to the Federal government for help in obtaining the information they need to deal effectively with the impaired driving problem. No single program or approach will solve the nation's drunk and drugged-driving problem. Instead, different methods must work in tandem, including deterrence through enforcement and publicity of driving while intoxicated (DWI) and driving under the influence of drugs (DUID) laws, referral of problem drinkers and drug abusers to treatment, education and voluntary actions that citizens can take to prevent impaired driving by themselves and others because they consider it improper and unacceptable, and programs to provide transportation alternatives to impaired driving. NHTSA's research supports development and evaluation of programs in all these areas.

The nature and magnitude of the drug problem in highway safety is not fully understood. Thus, NHTSA research supports laboratory, simulator, controlled on-road, and crash research to collect information needed to relate drug dosage to driving impairment.

FY 1993 Program

In the alcohol area, the FY 1993 program will develop and test procedures that aid police and courts in their efforts to deter DWI, evaluate innovative alcohol-impaired driving deterrence programs being initiated at the State and community level, and initiate development of programs that support the .08 BAC limit. In addition, work will focus on identification of specific high-risk "target groups." These target groups will be defined and the extent to which the specific groups contribute to alcohol crash causation will be determined.

In the drug area, work will focus on improving and expanding the DEC procedure, initiating laboratory evaluation of "non-invasive" drug testers, and continuing tests to determine driver performance effects due to selected drugs and dosage levels.

FY 1994 Budget Request Justification

A major thrust will be to continue agency efforts tc more specifically define those individuals who continue to drink and drive, i.e., high-risk target groups, in order that countermeasures can be focused more effectively. States and communities rely on NHTSA to provide cost- effectiveness information on the large variety of alcohol countermeasure programs that can be considered for implementation. In addition, NHTSA is looked to for the development of new procedures and programs that significantly improve a locality's ability to combat alcohol-impaired driving.

The FY 1994 program will focus on a number of high priority research activities e.g., development of pedestrian-alcohol countermeasure programs, development of programs that will help states implement the .08 BAC limit, development of countermeasure programs for specific target groups, determination of effective procedures for dealing with multiple offenders. The proposed funding will be allocated to provide approximately $1 million for continued research to develop countermeasures for identified pedestrian-alcohol problem types, as well as programs to support the .08 BAC limit and create a positive change in social attitudes regarding drinking and driving. The balance of $762 thousand will support initiation of new research projects to determine reasons for repeat offender behavior and evaluation of new sanctioning programs for hard-core persons with multiple impairment offenses. An additional new initiative will involve a national survey that will be designed to assess progress in changing driver attitudes about drinking and driving.

Funding of approximately $350 thousand is proposed for drugged driving. Drug abuse remains a priority problem at the national level, and the agency continues to develop basic information on the role of drugs in highway safety. This would include further work on driver performance. This basic research is designed to position NHTSA to develop countermeasures to serve as technical assistance to aid in improving the effectiveness of State and local highway safety efforts to deter drugged driving.

At present, drugged driver identification is a time-consuming process that can be carried out only in the station house by specially trained police officers. Other methods and equipment that can be used while on patrol or at the roadside, or that are less time consuming and require less training, are needed by police to increase their detection and apprehension of drugged drivers and the driving public's perception of detection risk for drug-impaired driving. A total of $150 thousand in FY 1994 funds is planned for continued evaluation of "non-invasive" drug test devices.

Accomplishments (completed in FY 1992)

- Prepared report to Congress on alcohol limits for drivers.
- Conducted a cost/benefit analysis of administrative license revocation laws in three States.
- Developed model performance specifications and test procedures for breath alcohol ignition interlock devices.
- Completed field test of behavioral cues for assessing alcohol impairment in drinkers (for use by alcohol servers and social hosts).
- Identification of visual cues for police detection of motorcyclists impaired by alcohol.
- Identification of State laws and practices associated with impoundment and forfeiture laws for DWI conviction.
- Completed evaluation of Maryland's .02 BAC limit for drivers under age 21.
- Preliminary determination of the incidence of potentially impairing drugs in a seven state/locality sample of fatally-injured drivers.
- Determined the effects of various doses of marijuana on driver performance under actual driving situations using a dual-controlled instrumented car.

HIGHWAY SAFETY RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Occupant Protection	$980	$972	$980

Program Objective

The objective of this research program is to identify and test strategies and methods for increasing levels of correct use of occupant-protection systems and devices by the general public. Program strategies include informing and educating members of the public or specific population subgroups; encouraging police agencies to enforce occupant protection laws more vigorously; and assisting state and community agencies and organizations to adopt occupant protection promotional programs.

Program Description

The major direction of the research program in occupant protection in recent years has been to identify those population subgroups that are using belts and child safety seats less frequently, and develop group-specific strategies for increasing their frequency of use. This work applies methods used in the private sector to develop product-marketing strategies (including use of geo-demographic databases, focus group discussions, and surveys of the public) for "selling" safety. NHTSA plans to acquire more detailed data on car owners by adding new databases to the geo-demographic system that will link additional lifestyle variables to make and model of car owned. Strategy development for both safety belts and child seats will be based on motivations and characteristics unique to identified groups. Drivers 16-21 years of age are of particular interest in this research.

FY 1993 Program

In FY 1993, the agency's research program will continue generating and testing methods for reaching specific target audiences with occupant protection messages about automatic belt systems, manual belt systems with air bags, and child safety seats. NHTSA will use its study of child safety seat use to define specific types of misuse with current models and determine situational and motivational characteristics of misuse. In addition, the agency will conduct a national survey of the general public to update the understanding of public knowledge and attitudes about occupant protection issues.

FY 1994 Budget Request Justification

The FY 1994 program focuses on defining population subgroups which are relatively low users of occupant protection systems, identifying personal, social, and environmental barriers to full and correct usage of these systems and devices among subgroups; and developing appropriate and effective strategies for improving use among these target groups. Increasing the use of occupant protection devices is one of the agency's highest priorities. With the passage of state laws requiring use of safety belts, child safety seats, and motorcycle helmets, the agency's research has focused on developing methods and procedures for law enforcement to get occupant-protection laws enforced more widely and efficiently. As belt use goes up, but police budgets become more constrained, it is doubtful that enforcement of occupant protection laws will remain a high priority for most law enforcement agencies. Nevertheless, people who infrequently or never use occupant protection systems are among those who are most at risk of involvement in serious crashes. The FY 1994 program expands on the marketing techniques NHTSA developed in prior years to reach new problem audiences, particularly drivers ages 16-21. Not only do young drivers use safety belts at lower rates than other drivers, they also are among the most likely to engage in other high-risk driving actions which result in over-representation measured in crash and fatality rates. Special approaches for these age groups include integrating a two-phase driver education program with provisional licensing of young drivers. Getting these groups to increase their use levels will be more difficult than the earlier gains in use rates, but the payoffs are expected to be greater.

Accomplishments

- Analyzed existing NHTSA data sets using market research approaches to determine characteristics of groups over-represented in fatal and non-fatal motor vehicle crashes, concentrating on crashes involving alcohol, children, older drivers, pedestrians, and bicyclists.

- Analyzed data collected by the Centers for Disease Control through their Behavioral Risk Factors Surveillance Surveys, to identify characteristics of nonusers of safety belts, especially young persons and others reporting as driving after drinking.

- Developed program strategies and recommended countermeasure approaches for selected subgroups of at-risk populations, including low income parents of young children.

HIGHWAY SAFETY RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Older Driver Research	$100	$496	$450

Program Objective

The objective of the older driver research program is to improve the safety and mobility of older roadway users by implementing the research agenda described in the agency's Traffic Safety Plan for Older Persons. This plan includes the development of a variety of methods for determining which older drivers pose a threat to public safety (and which do not), and assisting older drivers in making appropriate choices regarding the circumstances under which they continue to drive or seek alternative transportation. In addition to law enforcement and driver licensing agencies, potential intervenors include family members, physicians, and occupational therapists.

Program Description

Research conducted in FY 1992 and FY 1993 will define the relationship between driving problems and functional limitations caused by medical conditions. Based on recent gains in knowledge from many areas of research on older persons, the agency will revise its Traffic Safety Plan for Older Persons in FY 1993. Research will begin the work detailed in the revised plan, and is expected to require three to five years to complete. It is anticipated that the plan will include the following activities:

- Developing materials that will assist older drivers in making the decisions on where and when they should drive.
- Developing diagnostic and screening procedures for selected medical conditions and functional limitations that produce hazardous driving.
- Preparing procedures for law enforcement agencies to detect and process drivers with functional limitations who are in need of driver improvement or licensing action.
- Developing procedures and guidelines for driver licensing agencies for screening drivers for potential problems and appropriately restricting driving privileges of problem drivers.

- Revising guidelines for medical advisory boards on making recommendations for licensing actions affecting drivers with medical problems.

- Creating guidelines for medical practitioners and family members for assisting drivers who develop functional limitations to make appropriate decisions about continuing to drive.

FY 1993 Program

As people age they become more likely to suffer from a variety of medical conditions, especially visual pathology, cognitive disorders (frequently dementia such as Alzheimer's Disease), and progressive diseases such as arthritis. They experience increasing dependency on medications to maintain health. Each of these factors imposes limits on the extent to which certain older drivers can drive safely. Research in FY 1993 is designed to conclude investigations of the relationships between the development of visual pathology and patterns of driving and crash experience. NHTSA will begin to develop test procedures for detecting drivers with cognitive impairments. The agency has also updated its Traffic Safety Plan for Older Drivers.

FY 1994 Budget Request Justification

NHTSA has advised Congress that work to address issues related to safety and mobility of older drivers is among the agency's highest priority activities. The agency has completed its detailed analysis of older driver problems and is now ready to expand its research efforts to develop selected countermeasures. This major effort will be directed toward preparing model programs and materials for determining which older drivers should be restricted or removed from the driving environment. While the number of older drivers currently involved in crashes is relatively low, the ones who are involved receive a disproportionate amount of publicity, resulting in pressure on state licensing agencies to take action. This research program is focused on ensuring that licensing actions concentrate on problem drivers and avoiding adverse effects on the mobility of the older drivers who do not pose a threat to highway safety.

Accomplishments

- Revised the NHTSA Highway Safety Plan for Older Persons in FY 1993, based on knowledge accumulated from research sponsored by NHTSA and other Federal and private sector agencies.

- Reported on studies establishing links between medical conditions, functional capabilities, and driving patterns of older persons.
- Participated in national workshops, seminars and conferences to stimulate geriatric research in issues related to older drivers and pedestrians.

HIGHWAY SAFETY RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Pedestrian and Bicyclist Research	$260	$258	$260

Program Objective

The primary objective of the pedestrian/bicyclist research program is to develop cost-effective countermeasures for use by States and localities in reducing pedestrian/bicycle accidents and injuries.

Program Description

Pedestrian and bicyclist fatalities account for about 17 percent of all highway deaths each year, and account for annual societal costs estimated at $3.5 billion. In some large U.S. cities, 50 percent or more of the highway fatalities are pedestrians. Research has shown these accident areas to be complex, with multiple factors contributing to crashes. The identification of accident types by NHTSA has been a major step in improving understanding of how these accidents happen and what can be done to prevent them. Using accident types as targets, research focuses on the development of countermeasures in the areas of public safety information, model regulations, and safety training. Work done in conjunction with the Federal Highway Administration broadens the countermeasure approaches to include posting of traffic signs, traffic signals, and other environmental aids. States and localities with limited resources for safety activities can focus on applying solutions when the basic work of problem identification and countermeasure development and test is done at the Federal level.

FY 1993 Program

The FY 1993 program will involve the conclusion of two projects, continuation of two projects, and initiation of one new activity. Efforts will be completed on a revision of the accident typing programs for pedestrian and bicyclist crashes from analysis of police accident reports. Similarly, the development of critical pedestrian and bicyclist information for use in driver education and licensing programs will be concluded. Work will be continuing on revising and evaluating a NHTSA training program aimed at reducing school bus-pedestrian accidents among elementary school children. The Pedestrian Zone (PEDZONE) Project continues, with an evaluation of the program's crash reduction capabilities. A new activity will focus on ways of assessing the public's perception of pedestrian and bicyclist safety problems and imparting safety knowledge to the public.

FY 1994 Budget Request Justification

The FY 1994 program will include continued evaluation of the joint NHTSA/FHWA PEDZONE project, where selected zones of a city with a high number of elderly pedestrian crashes are identified and treated with an appropriate mix of behavioral and engineering countermeasures. When completed, the project will provide localities with a total program of pedestrian protection for older persons. Another continuation in FY 1994 will address the issue of the public's poor knowledge of pedestrian and bicyclist crash problems. This activity will complete the development of a printed quiz for assessing the public's awareness of pedestrian and bicyclist safety problem while also providing knowledge about the problems in an informative manner. This approach merges the two goals of assessment and improvement, and provides a product useful at the State and local levels. Finally, new work will begin on developing countermeasures in the bicyclist crash area. A variety of prototype bicyclist accident countermeasures were identified in earlier NHTSA research. These prototypes will be examined in light of current crash experience, and selected countermeasures in the form of public service announcements and print media ads will be developed.

Accomplishments

- Completed a nationwide review of pedestrian and bicyclist safety activities that occurred during the last decade.
- Examined the problems of transferring pedestrian and bicyclist safety technology from the Federal level to State and local programs.
- Reviewed the status of bicycle helmet promotion programs nationally and developed an advisory to guide organizations which conduct these programs, and a directory of available resources.
- Initiated work (in the Alcohol Program) on the problem of alcohol-involved pedestrian crashes.

HIGHWAY SAFETY RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Speed and Unsafe Driving Actions Research	$379	$376	$379

Program Objective

The primary objectives of the Speed and Unsafe Driving Actions Research program are to determine the nature and magnitude of the crash problem associated with major unsafe driving behaviors, and develop and evaluate programs designed to reduce these behaviors.

Program Description

Excessive speeding has been a major highway safety problem for many years and it is an agency priority. Other unsafe driving behaviors (e.g., running a stop sign or traffic light) are on the increase and becoming major highway safety problems. However, little is known about the nature of the crash problem associated with these behaviors and what can be done to reduce these crashes. States and communities look to NHTSA for this type of information, so that they can combat these unsafe behaviors effectively. Research in this area focuses on determining the degree to which unsafe driving behaviors under the voluntary control of drivers contribute to crash causation, and on determining under what circumstances behaviors such as speeding are most likely to increase crash risk. In addition, research also is directed at development and evaluation of programs (e.g., enforcement, adjudication, and public information and education) designed to reduce the occurrence of these behaviors in situations that lead to increased crash risk.

FY 1993 Program

Research will focus on initiation of indepth crash investigations designed to examine speed and other unsafe driving action related crashes, and to define the circumstances surrounding these crashes. Previously initiated research designed to determine the effectiveness of speed enforcement strategies that utilize laser speed measurement devices will be completed in FY 1993.

FY 1994 Budget Request Justification

Unsafe driving actions such as speeding represent a major highway safety problem. The police enforcement community has numerous problems in combating these behaviors because many drivers do not perceive them as unsafe. In FY 1994, research in this area will continue indepth crash investigations to determine the degree to which these major unsafe driving actions contribute to crash causation, and to determine when and where behaviors such as speeding are most likely to increase crash risk. New research will implement a nationwide driver survey designed to assess driver perceptions, attitudes, and motivations regarding speed and other unsafe driving actions. The funds being requested for FY 1994 will support the beginning stages of this work. Subsequent research will use this information to develop effective, focused enforcement programs, and to develop public information and education programs that will convince the driving public of the hazards associated with these behaviors.

Accomplishments

- o Determined the impact of the 65 MPH rural Interstate speed limit on speeding behavior.
- o Documented and assessed the feasibility of commercially available photo-radar speed measurement devices.

STATE MOTOR VEHICLE SERVICES

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
National Driver Register	$4,288	*	*

* As authorized by the Intermodal Surface Transportation Efficiency Act of 1991, and provided in appropriations for FY 1993, the agency requests to continue to fund the National Driver Register (NDR) out of the Section 402 State and Community Grant Program in FY 1994. The Budget justification for the NDR is presented in the Highway Traffic Safety Grants section.

STATE MOTOR VEHICLE SERVICES

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Records and Licensing	$240	$1,738*	$1,240

*This includes $500 thousand for the Highway Safety Information Management System project and $1 million for the Model Accident Record System project.

Program Objective

The objective of the Traffic Records and Driver Licensing program is to support and assist States in improving traffic records and driver licensing systems, and to establish more uniform and effective practices throughout the country. A good traffic records system is necessary for State and community managers to identify highway safety problems, implement effective countermeasures, and evaluate results. A good licensing system is necessary to grant licenses only to qualified drivers and to identify problem drivers in order to take appropriate remedial action. Improved driver licensing programs are necessary to address older driver safety through non-prejudicial methods, in order to identify drivers with physical and mental limitations and to determine how these drivers should be treated in order to maximize their safety and mobility.

Program Description

NHTSA's role is to encourage and assist States to use efficient and effective technology and practices in records and licensing. To do this the agency (1) monitors and assesses State activities, with emphasis on identifying noteworthy uses of new technology, (2) develops and demonstrates new technology and promote its use, (3) provides grants and other support to assist states in upgrading their record and licensing systems, and (4) provides technical assistance through publications, information dissemination, and direct consultation.

FY 1993 Program

The agency will assist States in upgrading their traffic records systems by expanding NHTSA-organized record program assessments to more states. NHTSA will provide technical assistance to help states implement recommendations from these assessments. The assessments also will assist states to implement the nationally developed critical automated data reporting elements (CADRE). NHTSA is working with FHWA to establish guidelines to assist

States in meeting the traffic record requirements of their Safety Management Systems, established pursuant to ISTEA. Personal computer (PC) workshops for police personnel will be conducted to show how new technology can improve State records processing. These workshops will showcase the recently-developed "clipboard" PC. The agency will continue to assist New Jersey in a model accident records automation project, and North Carolina in a project to demonstrate the development of a highway safety information management system.

Driver licensing activities will address driver relicensing, especially of older drivers. Together with the American Association of Motor Vehicle Administrators (AAMVA), NHTSA will revise and update training materials for driver licensing examiners, in order to enable them to identify at the counter drivers who should be referred for more thorough examination before relicensing. In other work with AAMVA, NHTSA will promote provisional licensing for young drivers, train license examiners to detect false identification, and promote State participation in the Driver License and Nonresident Violator Compacts (which facilitate effective exchange of licensing and driver records data between States). This effort will improve the accuracy and availability of driver records data for use by judges and prosecutors.

FY 1994 Budget Request Justification

ISTEA established requirements for State Safety Management Systems that specify the capability of linking the data systems of all the agencies involved in highway safety in each State. The Safety Management System requirements, in conjunction with the continuing implementation of CADRE and ISTEA requirements for uniform data on traffic fatalities, have increased the need for widespread changes and upgrades in State traffic records. In FY 1994 traffic records implementation grants will be offered to assist States in linking their data systems, to implement CADRE and make other improvements in their traffic records and data analysis systems, especially those identified in State traffic records assessments. The agency will target one State in each NHTSA region to serve as a model. Grant funds will be used primarily to support training and technical assistance necessary for a successful upgrade of traffic records systems. Also NHTSA will continue to assist States in assessing their record systems, in cooperation with the FHWA. Both efforts are in direct support of the agency's commitment to upgrade the quality of traffic record systems nationwide.

In addition to these direct assistance efforts, the agency will continue the PC workshops. NHTSA will support a limited demonstration program undertaken to explore the use of hand-held, pen-type PCs for report preparation and electronic data transmission by police and emergency medical agencies.

NHTSA will fund a major demonstration of an improved State older driver licensing program. The demonstration will use the updated driver license examiner materials to be completed in FY 1993. The agency will train license examiners to determine rapidly at the counter which relicensing applicants should be referred to more thorough examination. Persons referred may be given knowledge or road tests, medical examination, or discussion sessions with a driving counselor. The license bureau will have the information needed for choosing among many alternatives, from full license through license with restrictions (such as daylight driving only), counseling on voluntary driving restrictions, alternative transportation, other community services for seniors, and license denial. This information is necessary for the license bureau to choose appropriately in order to maximize the driver's and the public's safety and mobility.

NHTSA in cooperation with AAMVA will provide seed money to train instructors who will then spread the use of the improved license examiner program throughout the state. The agency will continue to promote provisional licensing for young drivers, train license examiners to detect false identification, and promote state participation in the Driver License and Nonresident Violator Compacts.

Accomplishments

- Coordinated with FHWA on the development of the notice of proposed rulemaking (NPRM) on Safety Management Systems (SMS) on the development of training for State officials responsible for implementing SMS requirements.
- Developed and evaluated a hand-held "clipboard" PC for use by police officers in accident reporting and data transmission, and by emergency medical personnel in preparing ambulance run reports.
- Through the International Association of Chiefs of Police, conducted a workshop for police agencies for the purpose of demonstrating the latest PC hardware and software in use.
- Initiated the development of a model accident records automation demonstration project in New Jersey, and a project in North Carolina to demonstrate the development of a highway safety information management system.
- Developed and conducted a data use training course for highway safety program managers.
- Conducted traffic records assessments in selected states to review state record systems and suggest improvements.

- Completed and distributed a revised Data Element Dictionary, which provides uniform data coding for use by all states, and incorporates the critical automated data reporting elements (CADRE).
- Developed publications in cooperation with the American Association of Motor Vehicle Administrators (AAMVA), as a part of the AAMVA/NHTSA Guidelines for state motor vehicle administrators to improve and standardize state licensing practices. This included a Model Screening and Evaluation Program to maximize personal mobility (especially for the older driver) and public safety, and Functional Aspects of Driver Impairment and Examiner Training Program to provide medical standards and recommended practices for licensing.
- Developed, with AAMVA, a Passenger Car Testing Program, which provides material for state passenger vehicle driver manuals and knowledge tests,and specifications for behind-the-wheel road tests.

RESEARCH AND ANALYSIS PROGRAM

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RESEARCH AND ANALYSIS PROGRAM

Highlights Statement

Research and Analysis operates under the mandate of the National Traffic and Motor Vehicle Safety Act of 1966, the Highway Safety Act of 1966, and the Motor Vehicle Information and Cost Savings Act of 1972.

The mission of the Research and Analysis Program is to provide a scientific basis for future reductions in motor vehicle crash losses. This research component consists of broadly based research and development, data acquisition, and analysis programs designed to support those motor vehicle areas that show the greatest promise for avoiding crashes, reducing injuries, and saving lives. The need for developing and applying new technology to solve the nation's motor vehicle problems is evident. Thus, this program is playing a major role in identifying and exploiting advanced technology through its research endeavors.

The National Center for Statistics and Analysis will continue to use large-scale, automated data bases to support problem identification, program planning and program evaluation. These data must be of superior quality because this information is used by the agency to support research and development of motor vehicle and highway safety policy and programs. With 39,500 fatalities and more than six million police reported crashes in 1992, and economic losses from crashes in excess of $137 billion per year, motor vehicle and highway safety continues as a top priority in transportation safety. These data also are the primary source of information on motor vehicle and highway safety for other DOT modes, especially the Federal Highway Administration (FHWA). The auto manufacturing and insurance industries, State and local governments, and consumers all benefit from the data produced by NHTSA. The FY 1994 program will maintain and enhance these major data systems.

The Crash Avoidance program provides continued support of heavy vehicle research, the National Advanced Driving Simulator and the Intelligent Vehicle Highway Systems (IVHS). All three programs seek to improve the crash avoidance of motor vehicles.

The heavy vehicle research program will continue its cooperative work with industry to develop a database of truck tire traction characteristics, to test truck interior components and cab structures to assess their occupant protection capabilities, and to develop performance targets for truck structural designs.

The IVHS/human factors/driver performance program will carry out research to better understand the human factors limitations and capabilities that constrain the performance of IVHS systems. In addition performance guidelines will be developed for crash avoidance countermeasures to reduce rear-end, lane change, merging and backing, intersection, and road departure crashes. A major focus of the human factors program will be quantification of the safety-related driving performance of older drivers, with a view toward facilitating development of adaptive, vehicle-based warning and/or collision avoidance systems to keep older drivers mobile and safe.

The Crashworthiness program will continue research on frontal, side impact and rollover crashes involving passenger cars and light trucks and vans. Analytical and modeling efforts are planned, as well as full-scale crash testing for frontal, side and rollover impacts, and research on electric vehicle crashworthiness. Testing to evaluate current and future child restraints will be supported, as will basic biomechanics research on injury mechanisms, including support for the agency's university and hospital-based Centers of Biomechanics Research. The program also will address major safety research issues, such as crash injuries to older drivers.

The Technology Transfer Program will provide for technical editing of NHTSA's technical journal, "Auto and Traffic Safety." This journal is published in order to disseminate information on the agency's research results to the traffic safety community.

RESEARCH AND ANALYSIS PROGRAMS

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	130	130	0
Use of Funds:			
Salaries & Expenses	$9,043	$9,130	+$87
Operating Expenses	2,257	2,248	-9
Contract Program	42,804	40,625	-2,179
Total, Research & Analysis	54,104	52,003	-2,101
Source of Funds:			
O&R Federal	$45,782	$40,569	-$5,213
O&R Trust	8,322	11,434	+3,112
Total, Research & Analysis	54,104	52,003	-2,101

RESEARCH AND ANALYSIS PROGRAM
Contract Program Summary

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
		(Dollars in Thousands)	
MOTOR VEHICLE RESEARCH			
Crashworthiness Research			
Safety Systems	$6,796	$7,480	$7,050
Biomechanics	5,000	4,986	5,000
Subtotal, Crashworthiness Research	11,796	12,466	12,050
Crash Avoidance Research			
IVHS/Human Factors/ Driver Perf.	7,500	7,024*	7,500**
Simulator	0	5,000	2,000
Heavy Vehicles	2,497	2,774	1,097
Subtotal, Crash Avoidance Research	9,997	14,798	10,597
Total, Motor Vehicle Research	21,793	27,264	22,647
NAT'L CENTER FOR STATISTICS & ANALYSIS			
Fatal Accident Reporting System	3,933	3,933	4,438
Nat'l Accident Sampling System	8,724	8,724	9,559
Data Analysis Program	1,575	1,575	1,840
State Data Systems	655	953	1,436
Restraint Usage Data Prog.	***	***	350
Special Crash Investigations	315	315	315
Total, National Center for Statistics & Analysis	15,202	15,500	17,938
TECHNOLOGY TRANSFER	40	40	40
JACKSON MEMORIAL	2,000	****	0
Total, Res. & Anal.	39,035	42,804	40,625

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* $2 million additional appropriated to NHTSA from FHWA's FY 1993 Budget for conducting IVHS related safety research.

** $9 million additional included in FHWA's FY 1994 Congressional Budget request for NHTSA's IVHS program.

*** Funding of $350 thousand for FY 1992 and FY 1993 is included in the Highway Safety Program's budget.

**** $2 million for Jackson Memorial and $250 thousand for Jackson Trauma Research Institute shown under the Highway Safety Budget.

CRASHWORTHINESS RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Safety Systems	$6,796	$7,480	$7,050

Program Objective

This research program provides the technical basis for formulation of crashworthiness policies and development of occupant protection technologies to prevent fatalities and injuries in vehicle crashes.

Program Description

This program takes advantage of the extensive crash data system supported by the agency to identify crashworthiness problems and opportunities to save lives and to reduce injuries. The approach taken in pursuing crashworthiness projects is to:

- Define with NASS (National Accident Sampling System) and other associated studies the injury mechanisms found in real-world crashes (intrusion, structural weaknesses, poor restraint effectiveness, and crash dynamics).
- Develop tests to simulate real-world accidents and develop measurement techniques for critical variables (structural and occupant responses, and passenger compartment integrity).
- Evaluate crashworthiness performance of baseline vehicles, including cars and light trucks and vans (LTV's).
- Develop and test potential safety countermeasure technologies (air bags, integrated seats and safety belts, child seats, intelligent restraints, and improved door latches), in order to specify performance requirements for improved occupant protection.
- Evaluate the technical and economic feasibility and the potential benefits of specific, selected crashworthiness improvements (comprehensive passenger car and LTV design effects, fleet characterization, and industry-wide technical effects).

Supporting this work is structural modeling that allows a better understanding of the crash mode being analyzed and also a broader view of the problem and solutions without doing expensive crash testing. Additionally, the biomechanics research program provides support through understanding the causes of human trauma in crashes, developing injury measures and criteria, and developing surrogates for measuring the trauma in tests.

Analysis of the NASS and other crash data bases reveals that, even with the effectiveness of current safety standards, frontal, side, and rollover crashes still account for a large number of deaths and injuries to occupants of passenger cars and LTV's (light trucks and vans). Crash injuries result from occupant impacts with the various vehicle interior surfaces and from ejections through door and window areas. Research programs in these areas are the major focus of this program. However, other opportunities are being pursued to save lives and to reduce injuries with improved crashworthiness and improved seats and restraint systems.

FY 1993 Program

The FY 1993 research program will provide the technical basis for regulatory decisions for interior head protection, rollover protection, door retention components, LTV dynamic side impact, and improved frontal crash protection. The program supports agency initiatives in child restraints, occupant protection for older persons and improved scientific understanding of electric and alternative-fuel vehicles and the role of vehicle aggressivity deriving from differences in size, body stiffness, and geometrics of vehicles that impact in crashes. It also includes extensive NASS studies of the real-world accidents to predict and quantify the nature of crashworthiness-related deaths and injuries. This is expected to continue to occur when currently mandated countermeasures such as air bags and dynamic side impact protection are fully implemented in cars, LTV's and heavy vehicles. The following progress is expected in the major crashworthiness programs:

Frontal Protection - Work in this area is directed at providing improved occupant protection in frontal crashes of air bag-equipped vehicles through improved vehicle integrity and restraint systems. Building on the NASS problem determination and baseline frontal offset, car-to-car crash tests conducted in FY 1992, a test procedure will be developed to simulate accidents where the injuries are associated with occupant compartment intrusion resulting from offset and higher severity, full-frontal collisions. Work will be started on problem identification for vehicle aggressiveness and compatibility. Work also has been initiated to develop lightweight automotive components while providing equal, or improved occupant protection. ($2.730 million)

Rollover Protection - Work in this area is directed toward providing improved occupant protection in rollover for passenger cars and LTV's by reducing the typical paths of occupant ejection, through improvements in door window glazing, latches, and hinges. Following the NASS problem definition work completed in FY 1992, test procedures to evaluate glazing retention concepts and to evaluate the door latches and hinges will be developed. Baseline and modified roof structure improvements will have been tested in both static and dynamic modes. New injury criteria, such as monitoring for cervical spinal injury, will begin to be measured with dummy components. Computer modeling work will have derived fairly accurate interior occupant simulation in rollovers, as well as finite element models of the various car and LTV roof structures. ($2.085 million)

Upgrade Seats, Restraint Systems - Work in this area is directed toward exploring new technologies in both seats and restraint systems, including new, improved safety belts integrated into the seat systems for improved occupant fit and better performance, in combination with air bag systems, over a wide range of crashes. Building on the seat and restraint system problem definition studies completed with NASS in FY 1992, test procedures will be developed to evaluate occupant injury reduction potential of the seats and restraint systems in a selected variety of crash modes and dummy sizes. Extensive finite element and other computer modelling will be done to explore occupant size and age variables, with particular focus on reduced injury tolerances of older persons. Baseline tests will be completed for both cars and LTV's. ($2.665 million)

FY 1994 Budget Request Justification

The proposed FY 1994 research program will involve advancing research activities in FY 1993 to their next plans. Research programs scheduled for FY 1994 are:

Frontal Protection - Further work is expected to involve extensive crash testing to evaluate selected modifications to various types and sizes of cars and LTV's. Such modifications may include new front structures, seats, and higher performance restraint systems that may adjust for occupant size. Both passenger cars and LTV's will be modified and tested. The results of these tests are to be used for evaluating the developed test procedures and associated injury measurement criteria, as well as the effectiveness and benefits of potential countermeasures. ($2.050 million)

Rollover Protection - Testing and development of glazing and door latch and hinge countermeasures will be continued for both cars and LTV's. Computer models and component tests will be refined based on results of full-scale rollover or simulated rollover crash testing of both cars and LTV's conducted with the new procedures, dummies, and injury criteria. Some evaluation of door latch, roof, seat, and restraint countermeasures in cars and LTV's will be done with the new procedures. ($1.2 million)

Upgrade Seats and Restraint Systems - A selected number of improved seat and restraint concepts will be developed and tested in both cars and LTV's using a range of dummy sizes for a variety of crash modes. Comparisons will be made with the previously tested baseline systems. ($1 million)

Near-Term Program Support - Work in this area will support agency crashworthiness rulemakings and other near-term initiatives and actions for child restraints, air bag or manual/automatic belt programs, electric and alternative-fuel vehicles, different sizes of occupants, older person occupant protection programs, test device and/or procedure revisions, alternative test dummies, and car and/or LTV side impact programs. The focus will be on test and evaluation for crashworthiness questions or problems which may arise, or for research/testing needs identified during or in response to rulemaking proceedings, petitions, NASS or other field performance evaluations, and Congressional mandates. ($1.5 million)

Future Safety Technologies - Research will focus on occupant protection systems to achieve significantly upgraded performance beyond that expected to be available in the near term. The agency will study potential technology improvements including upgraded air bag systems, upgraded air bag deployment technologies including precrash sensing, upgraded belt restraints including pretensioners and automatically adjustable anchorages, side inflatable cushions, and improved energy absorbing vehicle interior surfaces. Research activities also will include intelligent restraint concepts that may change fit, deployment, and restraint forces for differing crash conditions, occupant size, and age. The FY 1994 efforts are expected to include a wide range of projects and activities from NASS problem definition in specific car, LTV, or heavy vehicle crash situations, to hardware development and testing of some of the more promising technologies. Specific new technologies related to the crashworthiness of electric and alternative-fuel vehicles will be explored and testing begun related to problem definition and baseline performance. ($1.3 million)

Accomplishments

- Completion of the research program of headform impact testing of a fleet representative sample of the roof support pillars of cars and LTV's to support the regulatory decision for the upper interior head protection program. Baseline and modified pillars were tested to enable a quantification of the costs and potential benefits associated with the regulatory decision.

- Completion of the NASS analysis and other research efforts to define the problem determination for the regulatory decision involving the nature of the need for improved frontal crash protection for vehicles equipped with air bags and lap/shoulder belt systems. This includes the completion of the initial car-to-car crash test matrix to evaluate frontal offset crashes in terms of the different car sizes and their structure and restraint system's ability to protect the occupants from serious injury due to intrusion or other injury producing factors. Testing was also conducted to evaluate the effect of different percentages of offset and of angled impacts.

- Preliminary results have been obtained in the door latch integrity program leading to the identification of a test procedure that may lead to improved latches to reduce occupant ejection (complete or partial) in rollover, side impact, and other crashes. Validation work is underway for this test procedure.
- Completion of the initial research activity to evaluate the child restraint standard and other issues including child seat/air bag interaction.

CRASHWORTHINESS RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars In Thousands)		
Biomechanics Research	$5,000	$4,986	$5,000

Program Objective

The purpose of biomechanics research is to advance the basic scientific understanding of the automotive injury process. This is accomplished by quantifying the relationships that forces on and motions of the various parts of the body have with the risk to life and limb. This knowledge is then translated into testing technologies such as test dummies and injury criteria, that, when placed in a crash situation, can accurately evaluate the fatality and injury risk that those crash circumstances present to a human.

Program Description

Biomechanics research is the cornerstone upon which many of the agency's performance-based occupant safety initiatives are based. Biomechanics is a science that uses theories, methods, and practices of engineering to identify, study, quantify, control, and prevent impact injuries to humans. The pursuit of this basic science provides a fundamental understanding of the injury process to the human body by defining it in mechanical terms. This supports development of intervention and preventive strategies by correctly modifying or limiting the mechanical components of the impact process that cause injury. NHTSA's biomechanics research is divided into four major components:

Highway Traffic Injury Studies - The objective of these studies is to identify and understand human injury mechanisms by studying real-world crashes using detailed engineering investigations of crashes, together with detailed medical studies of crash injuries. Medical researchers, accident investigation teams, engineering researchers, and the agency staff identify, investigate, and document causes, conditions and consequences of selected crashes involving serious injuries. While NASS is vitally necessary to determine the causes (i.e., the specific parts of the car that the occupant's body impacts and the medical effects of such impacts) and number of injuries and deaths that occur nationally each year, the statistically relevant sample that the NASS system is able to collect on an individual type of impact is relatively small. Thus, studies can "over sample" specific types of crashes or injuries and/or gather much more detailed or unusual information that are of special interest due to near-term priorities or program needs.

Impact Injury Research - The objective of these studies is to provide a detailed understanding of the forces, motions, and distortions that the human body experiences during an impact, and their relationship to the type, location, and severity of the resulting injuries. Impact injury research is the experimental quantification in the laboratory environment (in engineering and medical terms) of the injury mechanisms that affect various parts of the body in automotive crashes.

Human Injury Simulation and Analysis - The objective of this research is to create detailed computer models of the human body that can simulate human impact response and injury in simulated automotive crash events. Using the analytical techniques of modeling engineering structures, this work will develop detailed finite element models of the human anatomical structures of the brain, neck, thorax/abdomen and limbs. These models will simulate crash impact responses of the human body and predict, using material failure properties, the type, location, and extent of any expected injuries. These mathematical techniques are particularly valuable in efficiently exploring, with a computer, variations in occupant size and the variations in impact tolerance due to advancing age (i.e., the added susceptibility of the older persons to injury). They also can reduce the need for actual physical testing with dummies or other human surrogates. This requires the simulation of not only the human structure but also the vehicle structure with which the crash victim interacts.

Crash Test Dummy Development - The objective of this research is to develop test equipment and improved dummy components capable of measuring crash forces and evaluating injury risk in automotive crashes. This work will design, develop, test, and evaluate realistic mechanical substitutes for the human. It will involve dummy subcomponent test devices representing the head, neck, thorax, and limbs. These devices will enable better evaluation of injury potential to allow future improvements in regulatory requirements or in developing improved crashworthiness technologies. Emphasis of proposed efforts will remain devoted to developing and implementing advanced instrumentation techniques, improved dummy components for more accurate evaluation of various restraint conditions, and devices for evaluating specific impact situations.

FY 1993 Program

The FY 1993 program will study restrained child and adult occupant injuries at Children's Hospital National Medical Center (Washington, D.C.), Jackson Memorial Hospital, and the New Jersey University of Medicine and Dentistry. Thoracic injury measurement studies will be conducted at the University of Virginia, the Medical College of Wisconsin, and the University of Heidelberg. Computer modeling will be done of impacts to the brain and thorax. Finally, the program will pursue development of a unique prototype dummy thorax for improved measurement of thoracic injury mechanisms such as the combined effect of safety belts and air bags in a frontal crash with consideration for the age and size of the occupants. Progress expected on the major biomechanics programs will be:

Highway Traffic Injury Studies - The Washington, D.C. Children's Hospital study of pediatric injuries, an agency priority, should be two-thirds completed. The information from this study will provide information for upgrading child restraints. The data from the Injury Causes of High Speed Crashes study (an area of increasing interest) at the New Jersey University of Medicine and Dentistry will begin to be available for study. The Jackson Memorial study of restrained occupants in frontal crashes will be nearing completion. The results of these three studies will augment NASS to provide information on the relevant injuries for use in the program to upgrade frontal crash protection. A National Crash Analysis Center will be established, in cooperation with FHWA, to analyze and integrate these studies into agency and FHWA crashworthiness programs. ($650 thousand)

Impact Injury Research - All five of the planned Impact Injury Research Centers will become operational. The study of thorax tolerances to various types and combinations of safety belts and air bags will be completed. This will allow the agency to refine its injury criteria for combined air bag/safety belt restraints. Work on lower extremity and head injuries will have begun. The work on lower extremity injuries is relevant to the upgrade frontal protection program. The head injury work will allow the agency to refine the head injury criterion which currently does not relate well to disabling brain injuries. ($2.236 million)

Human Injury Simulation and Analysis - Each of the basic finite element computer models of the human head, neck, and torso will gain sophistication by implementing improvements in their geometric detail, the accuracy of their characterizations of the constituent materials and failure conditions, and their demonstrated capabilities to simulate actual events. Integration of detailed restraint models (seat belts, air bags and padded structures) with the human models will extend the applicability and usefulness of the models to actual design and evaluation issues. ($1 million)

Crash Test Dummy Development - The major dummy segment prototypes for the thorax, lower extremities, and neck will be available for preliminary evaluation. Some new concepts will be developed or designs will be refined for other biomechanical test devices and/or dummy sizes (e.g., other size infant/child dummies, alternate side impact dummies, etc.) or components. This research is directed to supporting improved injury measurement for current safety standards and new injury measurements needed for new safety standards. For example, the upgraded frontal protection program will require refined and new injury measurement capability for lower extremity injuries. ($1.1 million)

FY 1994 Budget Request Justification

The agency's biomechanical research supports near-term rulemaking priorities such as interior impact protection, as well as longer term agency priorities such as improved frontal and rollover protection. Work is scheduled in the four research areas, as follows:

Highway Traffic Injury Studies - Requested funding will continue the Children's Hospital project to collect more information on injuries to restrained children, in order to assist the agency in assessing the need for better restraints for more severe crash modes. The NHTSA/FHWA Crash Analysis Center will continue to improve the ability of both agencies to relate specific crash cases and small studies to NASS, FARS (Fatal Accident Reporting Systems), and various crashworthiness programs. ($500 thousand)

Impact Injury Research - Efforts at the five Impact Injury Research Centers will be focused on obtaining greater understanding of the injury processes for the skull/brain, the neck/spine, the abdomen/liver, and the lower extremities in frontal, lateral, and rollover crashes. As a result of these efforts information will be provided on injuries and injury criteria for development of improved protection in these areas. ($2.5 million)

Human Injury Simulation and Analysis - The computer simulation model calibration accuracy will be improved, different sizes and ages of occupants will be explored, and the finite element models connecting the major body segments will begin. This work will support all activities to upgrade occupant protection. ($900 thousand)

Crash Test Dummy Development - The prototype dummy parts will be refined and the remaining body segment designs related to dummies intended for frontal impact and upgraded frontal impact protection will be developed. Work will begin on other sizes of frontal impact dummies such as small female and large male. This work will help the agency assess vehicle performance for other sizes of occupants and specify performance if necessary. Work will be continued toward completion of concepts or refinements for other biomechanical test devices and/or dummy sizes that were started previously. ($1.1 million)

Accomplishments

- Completed initial geometric development of thoracic and skull/brain finite element representations of these human structures and their ability to model impacts with several automotive structures such as the roof support pillars. This work will continue to aid interior head impact protection and side or frontal impact programs involving head and/or thorax injury measurements and criteria.

- Completed development of a deformation sensing chest band and introduced its use into routine testing at all Impact Injury Research Centers and other research sites involved in thorax trauma research. The three operating Impact Injury Research Centers are actively testing and developing a frontal thoracic injury index that will allow comparison of the relative performance of any type of belt/airbag or other type of restraint system.

- Completed design, development, testing, and evaluation of a preliminary prototype of an advanced torso for improved frontal impact injury evaluation with combinations of belts and/or airbags.

CRASH AVOIDANCE RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Intelligent Vehicle Highway Systems (IVHS)/Human Factors/ Driver Performance	$7,500	$7,024*	7,500**

* Funding of $2 million was appropriated for NHTSA's IVHS Program in FHWA's FY 1993 Budget.

** Funding of $9 million for NHTSA IVHS work is included in FHWA's FY 1994 Budget request.

Program Objective

This program will enhance the crash avoidance performance of motor vehicles through the application of intelligent vehicle technology and will help ensure no loss of safety as these systems are incorporated into motor vehicles. In order to achieve the potentially significant safety benefits offered by advanced technology systems, the characteristics of such systems must be matched to the performance capabilities and limitations of the drivers who must use them.

Program Description

This program will facilitate the development and evaluation of advanced technology safety products and systems. NHTSA completed a comprehensive strategic plan to guide its IVHS Program. This plan outlines the scope and substance of NHTSA's anticipated IVHS activities, and serves as a foundation for developing budgetary requirements.

The agency will establish the safety targets for crash avoidance technology, develop performance guidelines for crash avoidance systems, evaluate the safety performance of such systems, work with industry to demonstrate the most promising ones, and facilitate their deployment in the marketplace.

These pursuits will be addressed by a five-thrust program which will:

- Develop research tools, such as driver/vehicle performance measurement/analysis systems, instrumented vehicles, simulation models, and specialized data bases for use in developing a better understanding of driver-vehicle interactions and in exploring potential countermeasure concepts.
- Develop descriptions of the specific crash problems to be addressed to ensure that countermeasures addressing these crash problems can then be specified in performance terms that match real safety needs.
- Specify guidelines for the performance of systems and techniques for evaluating system safety. As soon as performance guidelines are available, the private sector will have product design targets, and the agency will have a basis for conducting safety impact analyses and, if appropriate, for initiating rulemaking.
- Conduct in-service field evaluations in conjunction with the industry to assess performance, reliability, maintainability, failure modes/consequences, and costs. Validation of safety specifications under real-world operating conditions will facilitate the final deployment of marketable IVHS systems.
- Participate in the safety evaluations of DOT mobility enhancement technologies to ensure no loss of safety as these technologies are introduced into motor vehicles. NHTSA support for DOT's Automated Highway Systems (AHS) is included in this program.

IVHS technologies have the potential to be particularly beneficial for older drivers, and these are addressed in the FY 1994 program. An understanding of the driving patterns of older persons and the circumstances under which they crash, as well as their performance capabilities and limitations, will form the basis for design guidelines for technologies to assist older drivers. Guidelines also will ensure that advanced technology devices are "user friendly" to older drivers and other groups comprising the driving public.

FY 1993 Program

Research Tools - The FY 1993 budget will provide a second year of funding for the acquisition of a variety of crash avoidance research tools: a portable human factors/vehicle performance data acquisition system to allow driver-vehicle performance data to be collected using a variety of vehicle types in real traffic; a vehicle motion sensing system to record the driving actions of vehicles in normal use on the highway in order to create a data archive that defines the crash avoidance experience; and an instrumented test vehicle for use in evaluating IVHS hardware systems and for use as a prototype vehicle for the Department's 1997 automated highway and vehicle prototype demonstration. ($760 thousand)

Crash Descriptions - During FY 1993, the initial analysis of collision data for the purpose of defining crash avoidance problems and estimating benefits will be completed. These analyses will define clearly what is known about the crash problems addressed and will serve as input data to the development of meaningful performance specifications for countermeasures to address them. ($315 thousand)

Performance Guidelines - The agency will complete the first phase in the development of performance specifications for countermeasures to avoid crashes of various types: rear-end, intersection, road departure, lane change, merging and backing. This entails analytically establishing functional goals based on the crash problem analyses, testing of existing technology, and development of preliminary performance specifications based on the modeled crash scenario. In addition, the agency will initiate an effort to develop system specifications for improved emergency medical services (EMS) communication. It is envisioned that this will be a system which automatically summons an EMS response unit following a crash, and provides the unit with reliable data on crash location. The agency will be midway through multiyear human factors projects to provide means for assessing the impact on driver workload of the addition of IVHS devices on motor vehicles. These projects will provide design guidelines for ensuring that warning systems meet drivers needs and are matched to their capabilities and limitations, and to assess the feasibility of a reliable driver performance monitoring system to detect the onset of drowsiness/fatigue. ($4.633 million)

Countermeasure Evaluation - No countermeasures will be ready for field evaluation in FY 1993.

Mobility Enhancement Safety Evaluations - The agency will participate with FHWA in the safety evaluation of at least three operational test demonstrations: two evaluations of route guidance and navigation systems in Orlando (TravTek) and Chicago (ADVANCE); and assessment in Washington State of a one driver information safety system that provides real-time information to motorists on safe speeds for conditions. The agency is responsible for ensuring that evaluation protocols adequately address the question of system safety. ($716 thousand)

An additional $2 million appropriation for NHTSA's IVHS program was included in FHWA's FY 1993 budget. In FY 1993, NHTSA will use these funds to support the safety evaluations of IVHS devices/systems being operationally tested by the Department.

Human Factors in Heavy Trucks - Funding was provided in NHTSA's FY 1993 budget to carry out research on the use of near-obstacle detection technologies in improving the driving performance of tractor-trailer drivers, and the safety implications of using in-vehicle text communications devices on heavy trucks. ($600 thousand)

FY 1994 Budget Request Justification

NHTSA, in FY 1992 initiated a series of multidisciplinary, multi-year research efforts to better understand human factor limitations and capabilities that constrain the performance of IVHS systems, and to develop performance specifications for IVHS systems. The FY 1994 program will continue funding for these programs to ensure that the safety potential of IVHS crash avoidance technology is achieved in real-world applications. In support of this goal, the agency is pursuing a major research effort to facilitate development and deployment of cost-effective, user-friendly technologies for improving crash avoidance capabilities of motor vehicles.

Research Tools - The budget request includes final funding for the instrumented test bed vehicle and would bring the prototype system for acquiring and analyzing data on the vehicle motion environment (and the portable human factors data acquisition packages) to the point of being ready for field evaluation. Driver performance efforts begun in previous years related to enhancing driver/vehicle interaction and reducing conflicts will continue. One program will identify the safety-related driving performance capabilities and limitations of older drivers, so that vehicle-based methods of adapting to these driver characteristics can be developed. Another program will identify feedback cues that drivers use to gauge whether their vehicle is under control. Knowing these cues possibly could lead to the capability of modifying them to keep drivers within acceptable vehicle stability bounds, or warning them of operation near the limits. ($4.68 million)

Crash Descriptions - The effort to identify promising crash avoidance opportunities on the basis of crash problem analysis will decline to a smaller support level in FY 1994, because the initial emphasis on this area over the past two fiscal years will have been completed. ($150 thousand)

Performance Guidelines - Efforts to establish performance specifications for crash avoidance countermeasures (to rear end; lane change, merging and backing; intersection, and road departure crashes initiated in FY 1992) will move into Phase II. The focus will be on assessment of the state-of-the-art with regard to the component technologies and the initiation of work to construct a test which functionally represents the intended countermeasure as a first step in verifying, fine tuning and finalizing the performance specification previously developed analytically. These contracts require increased funding during their later stages to support the extensive test program needed to ensure the appropriateness and practicability of the emerging performance specifications. Performance specifications will serve as the basis for evaluating the safety impact of commercially available products and as design targets for products which do not yet exist. Thus, they represent a significant threshold to improved safety. The workload evaluation protocol will be completed in FY 1994. Guidelines for the driver-vehicle interface will be proceeding toward completion and incorporation in the final countermeasure performance specification. The guidelines will layout specifications of performance relevant to each coutermeasure selected for study. ($2.67 million)

FHWA Funding for IVHS

The additional $9 million being requested for NHTSA in the FHWA budget will provide the increased funding necessary to support development of performance guidelines. The funds will also permit initiation of the field testing, in a rural area, of a communications system for automatically summoning EMS response following a crash and providing reliable data on crash location. The agency's mobility enhancements safety evaluations will also be funded and will include the human factors and safety related research in support of the Department's 1997 demonstration of an automated highway and vehicle prototype.

Performance Guidelines - Additional funding in FY 1994 is required to support the extensive test program needed to ensure the appropriateness and practicability of the emerging performance specifications for crash avoidance countermeasures. ($3.5 million)

Countermeasure Evaluation - The communications system for automatically summoning EMS response following a crash, and for providing reliable data on crash location, will be ready for field evaluation in FY 1994. If the anticipated, significant improvement in the speed of delivery of treatment can be demonstrated, the probability of survival and timely recovery for motor vehicle crash victims will be increased greatly especially in rural areas. ($3 million)

Mobility Enhancement Safety Evaluations - The ISTEA/1991 mandated the demonstration of an automated highway and vehicle prototype system by FY 1997. The agency's crash avoidance projects already planned for FY 1992 and FY 1993 support this project. In FY 1994, this project will reach the stage of identifying, acquiring and extensively testing the reliability, safety, and "user friendliness" of the systems components and subsystems for which the agency will be primarily responsible. Carrying out this responsibility will require additional funding. The success in delivering improved safety will depend on matching technology to capabilities and limitations of drivers who must use the developed systems. The agency also will continue to participate in the safety evaluation of FHWA operational tests which are planned for initiation in FY 1994. ($2.5 million)

Accomplishments

- Initiated work to acquire needed crash avoidance research tools: a portable human factors/vehicle performance data acquisition system, a vehicle motion sensing system, and an instrumented tested vehicle for use in evaluating IVHS hardware systems.
- Completed the initial analysis of collision data for the purpose of defining crash avoidance problems, identifying promising countermeasures, and estimating benefits for the following crash types: rear-end; road departure; backing; intersection; and lane change and merging. These data will ensure that countermeasures developed match real problems.
- Initiated work to develop performance guidelines for countermeasures to address rear-end, road-departure, intersection, lane change, merging, and backing crashes. Performance specifications are needed as the basis for evaluating the safety impact of developed products.
- Obtained preliminary results on the most appropriate means for providing warning signals to drivers and eliciting appropriate action.

CRASH AVOIDANCE RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
National Advanced Driving Simulator (NADS)	$-0-	$5,000	$2,000

Program Objective

This program will develop a state-of-the-art driving simulator in the U.S. that will serve as a national research asset for use by scientists and engineers in both public and private sectors.

Program Description

On January 16, 1992, the Department announced that it would develop a National Advanced Driving Simulator (NADS) to be located at the University of Iowa. The estimated cost of this facility is $32 million, including the facility building. It is anticipated that DOT will provide two-thirds of the funding, with approximately $11 million being provided by non-DOT sources. The simulator is a critical tool needed for the agency to pursue crash avoidance, human factors, and Intelligent Vehicle Highway Systems (IVHS) research in potentially hazardous situations without putting subjects at risk. A critical research need is improved understanding about how drivers, including older drivers, interact with their vehicle and the roadway environment. This information is key to the development of countermeasures that can assist drivers in maintaining control of their vehicle in emergency situations, by ensuring a match between technology and the performance capabilities and limitations of drivers who must use the technology. Simulators will be essential to the acquisition of this improved understanding of driver behavior. The use of NADS will be especially beneficial in studying behavior situations where a collision might occur, and in investigation of concepts for advanced collision avoidance technology. The simulator will be to crash avoidance what the vehicle crash test facility is to crashworthiness.

FY 1993 Program

The FY 1993 budget provides the initial funding to support the construction, integration, test, and validation of the NADS. This effort will proceed only if the additional $5.75 million in (non-DOT) cost sharing has been secured by the University of Iowa. The simulator design will be determined from a design competition among multiple contractors.

FY 1994 Budget Request Justification

The FY 1994 budget request of $2 million will provide additional funding to support the purchase and/or design and fabrication of the major NADS subsystems, namely, the motion system, the computer generated image and audio systems, and the dynamic simulation computers and software. It will also fund the systems engineering work necessary to integrate the various subsystems and carry out the testing necessary to validate that the NADS design and performance specifications have been met. This phase of the project will begin, provided that a total of $11 million of non-DOT funding has been secured by the University of Iowa. The University of Iowa pledged to contribute $3.25 million in cash to offset the construction cost of the NADS building, and to provide the NADS real-time vehicle dynamics computer software, valued at $2 million. Thus, Iowa's total cost-sharing contribution is $5.25 million, leaving an additional $5.75 million to be secured.

Accomplishments

- Completion of the site competition for NADS, with the award to the University of Iowa. The University of Iowa won the competition based on its commitment to simulation and its contribution to the construction of NADS.

- The Transportation Systems Acquisition Review Council (TSARC) gave its approval of the NADS Mission Needs Statement and Acquisition Plan and granted NHTSA authority to proceed with the Phase I design competition. NHTSA will be required to secure TSARC approval again before proceeding to the Phase 2 fabrication phase of the project.

- NHTSA and the University of Iowa finalized the Cooperative Agreement for the NADS. This agreement defines the responsibilities of each party during the development, building, and operation of the NADS.

CRASH AVOIDANCE RESEARCH

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Heavy Vehicles	$2,497	$2,774	$1,097

Program Objective

This program addresses heavy truck crash avoidance and crashworthiness. Research results are directed toward improving the safety performance of heavy trucks.

Program Description

Work on heavy vehicles focuses on making these vehicles handle and brake better, and on improving their crashworthiness characteristics, in terms of protecting both the occupants of trucks and occupants of other vehicles involved in collisions with trucks. As certain of these programs (primarily those related to braking performance) are completed, more attention will be shifted towards improving heavy vehicle driver performance through the application of advanced technology, vehicle-based aids developed under the IVHS program, such as sideward-looking vehicle/object detectors and driver performance monitors.

Past agency research programs in heavy vehicles have had a strong emphasis on aspects of the agency's 1987 comprehensive heavy truck research plan, (developed in response to Sections 216 and 217 of the Motor Carrier Safety Act of 1984). These programs dealt with heavy vehicle braking and handling/stability performance. Most of the work on braking performance is nearing completion; however, studies will continue in the area of stability/control/handling and heavy vehicle crashworthiness.

The program includes:

- Cooperative work with industry to quantify the traction performance of a representative range of typical truck tires. Tire traction capabilities ultimately determine the limits of a vehicle's ability to stop and turn. There essentially are no publicly-available data describing the traction properties of truck tires. This continuing program will use test methods, developed in previous fiscal years by this project, to characterize typical truck tire traction performance.

- Use of test procedures to evaluate truck interior surface padding characteristics as well as cab structural integrity properties, which were developed under a multiyear cooperative program with industry to evaluate a number of alternative design approaches for improving the occupant protection characteristics of heavy truck cabs. Each year, approximately 900 drivers of medium/heavy trucks are fatally injured in crashes, making truck driving one of the nation's most hazardous occupations.

- Development of practical truck structural design concepts for reducing the annual number of injuries (approximately 80,000) and deaths (approximately 4,000) that occur to car and LTV occupants involved in collisions with heavy trucks.
- Support of current or pending rulemaking actions; including: response to unanticipated needs resulting from petitions and/or comments to Agency rulemaking proposals, changing internal priorities, and questions regarding the enforceability of Agency standards.

FY 1993 Program

Work in FY 1993 supports both near-term and longer term agency objectives:

Heavy Vehicles - The agency's in-service field evaluation of the reliability and maintainability of ABS (antilock braking systems) for heavy vehicles will be completed in FY 1993, with the end of a two-year evaluation of 50 trailer systems. In addition, work begun in FY 1992 will continue to develop methods for quantifying traction performance properties of truck tires, as well as test methods for evaluating truck occupant protection features. Efforts also will continue to identify possible methods of designing truck structures to minimize trauma consequences to car and LTV occupants involved in collisions with heavy trucks. ($1.468 million)

Driver/Vehicle Interaction - Previously begun driver/vehicle interaction studies to determine direct and indirect visibility requirements for drivers, and to define the optimal performance properties of rear signalling/marking systems, will continue in FY 1993. In support of the agency's older driver safety program, work will be initiated to identify safety-related driving performance capabilities and limitations of older drivers, and identify feedback cues that drivers use. ($1.306 million)

FY 1994 Budget Request Justification

Cooperative work with industry, under the auspices of the Society of Automotive Engineers (SAE) will have yielded a set of validated test procedures for evaluating the traction performance characteristics of heavy truck tires. These procedures will be used to rate the performance of a variety of typical truck tires so that the contribution tires make to overall vehicle dynamic stability performance can be determined. Work will continue to test truck interior components and cab structures to assess their occupant protection capabilities. Test methods developed under this same program will be used to assess steering wheel designs, other cab interior surfaces, and cab structural rigidity in terms of these components's ability to protect truck occupants in crashes. Work also will continue to develop performance targets for truck structural designs that minimize trauma consequences to car and LTV occupants involved in collisions with heavy trucks. The goal is to work with industry to develop several prototypes that could be evaluated for practicality, manufacturability, and crash performance.

NOTE: In FY 1994, all activities regarding driver performance will be included under the IVHS program.

Accomplishments

- Completed and fully documented the results of the two-year in-service field evaluation of 200 ABS-equipped tractors, thereby facilitating an agency rulemaking decision regarding ABS on new tractors.
- Completed the development of test methods for evaluating the occupant crash protection characteristics of heavy trucks.
- Initiated the first phase of testing needed to develop heavy truck tire traction performance measurement methodology which will enable the subsequent characterization of a representative sampling of truck tires.
- Completed development of brake performance test procedures in support of agency efforts to establish stopping and stability performance during heavy vehicle braking actions.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Fatal Accident Reporting System (FARS)	$3,933	$3,933	$4,438

Program Objective

The Fatal Accident Reporting System (FARS) is a nationwide data collection system of all fatal crashes in the U.S. FARS is an essential resource that permits the agency and the traffic/highway safety community to quantify and describe the national traffic safety environment. The FARS system collects vital information on over 100 characteristics of drivers, vehicles, and occupants from all fatal traffic crashes occurring in the U.S., the District of Columbia (DC) and Puerto Rico each year. FARS data are used to assess progress at the national level, and in the States, in reducing fatalities due to auto crashes. FARS data analysis is used to identify highway safety problem areas requiring new or additional research, to support regulations, and to support development of new safety countermeasure programs.

Program Description

More than 150 State personnel provide data entry support to FARS through cooperative agreements with the agency. FARS data are obtained from a variety of State record systems and are coded, entered into a microcomputer located in each State FARS office, and then transmitted to a central pc-based computer system. The electronic data files allow sophisticated analysis of all fatal crashes nationwide which have occurred since 1975. The wide range and variety of data collected provide important insights into the age, sex, license status, etc., of the drivers involved in fatal crashes; the characteristics of their vehicles and passengers; roadway conditions; the critical events leading to the crash; and more. In 1992, the FARS data provided a census of data on more than 39,500 traffic fatalities.

FARS data are used extensively by NHTSA and FHWA, and by State and local governments, research organizations, private citizens, the auto and insurance industries, Congress, and the media. Since its inception, FARS has come to be recognized throughout the highway safety community as the definitive source of data to assess national progress in improving highway safety. The agency responds to over 3,000 annual requests for FARS information, and sends out more than 50 computer tapes of FARS data every year. FARS furnishes data for the agency's analyses of trends in traffic safety and crashworthiness. For example, FARS supports rulemaking on side and frontal impact protection, analysis of heavy truck crash factors, and analysis of older (5 to 12 years) child crash protection. FARS is used within the agency to identify and define highway safety problems and to assess the effectiveness of safety improvement actions.

The agency conducts an annual FARS workshop and provides basic and advanced training to maintain the level of competence of the FARS State analysts, enhance data collection and use, and address emerging traffic safety issues. FARS operations include managing the 52 cooperative agreements to collect FARS data, planning and developing training for over 150 State personnel, data processing, maintenance of computer hardware and software functions, telecommunications support, and data collection quality control.

FY 1993 Program

FARS operations continued in FY 1993 at the same budget level of $3.933 million appropriated for FY 1992. Since operational costs for direct labor increased over the previous year, certain research initiatives planned for FY 1993 are being curtailed or postponed to maintain operation of the basic system. In FY 1993, FARS focuses on learning more about the extent of drug involvement in fatal crashes, the characteristics of trucks in fatal crashes, and pre-crash maneuvers taken by drivers to avoid fatal crashes. Drug information is important to understand the magnitude of the problem for drugs other than alcohol. Truck data is not only critical to agency efforts such as pursuing upgraded truck underride countermeasures but also is invaluable to FHWA in carrying out motor carrier safety programs. Data obtained on pre-crash maneuvers will provide valuable insight for the development of system specifications for the IVHS program.

FY 1994 Budget Request Justification

NHTSA is seeking a $505 thousand increase over FY 1993 funding for a total of $4.4 million. These funds are required largely because the cost of the 52 cooperative agreements for State support is expected to rise. The increase is necessary in large part due to State increases in salaries, administrative costs, and data acquisition costs. The FY 1994 increase includes $353 thousand for these cost escalations. The funding increase will allow the agency to continue collecting data on the characteristics of all fatal traffic crashes occurring in the entire U.S. each year. This will support analytical activities for the agency's enforcement, rulemaking, and traffic safety activities. The increase includes $105 thousand to reinstitute quality control, and provide specialized training. The remainder of the increase, $47 thousand, supports critical data processing. The quality control portion is a key area for FARS. FARS quality control activities are essential to sort through coding errors, and correct important information such as vehicle identification and alcohol involvement. FARS quality control ensures the file's integrity and is essential to the agency's research and analytical activities.

Accomplishments

- Continued to operate FARS, collecting detailed information on over 39,500 fatalities resulting from traffic crashes in 1992. An extensive range of data from the 50 States, District of Columbia, and Puerto Rico is obtained to provide information on the characteristics of fatal crash victims, the number and seating positions of the persons involved, the types of vehicles, roadway and environment, extent of alcohol/drug involvement, and restraint usage.

- Used as the principal data source to prepare an interim evaluation of the safety impact of Standard 208 (Automatic Occupant Protection) in 1992, as well as evaluate the incidence of crashes involving underride of heavy trucks for rulemaking purposes, characteristics of pedestrian fatalities for countermeasure development, trends in female and young adult drivers involved in fatal crashes, characteristics of motorcycle crashes, vehicle ejections, child restraint use, and the impact of raising the rural Interstate speed limit.

- Developed specific training modules in 1992 to increase state analysts' skills in interpreting and coding data in key traffic safety areas such as crash avoidance maneuvers and heavy truck configurations.

- Continued to collect death certificate information to link FARS data with the National Center for Health Statistics data on specific cause of death and autopsy results. This enables the agency to estimate the proportion of work-related traffic fatalities.

- Provided FARS data and computer files to the Centers for Disease Control and the Consumer Product Safety Commission for their use in conducting studies on highway safety injury control.

- Continued coordination with FHWA to expand their Trucks in Fatal Accidents (TIFA) file. TIFA contains FARS data on fatal crashes involving heavy trucks and data from FHWA's motor carrier accident file. This is an important data base for the FHWA's motor carrier safety activity to identify problems and develop safety programs for large trucks in commercial operation.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
National Accident Sampling System (NASS)	$8,724	$8,724	$9,559

Program Objective

The National Accident Sampling System (NASS) is the only crash data collection program in the agency that provides nationally representative data on traffic crashes. Currently, NASS includes two components, a Crashworthiness Data System (CDS) and a General Estimates System (GES). In the CDS, information is collected from detailed investigations of approximately 5,000 representative crashes annually that involve passenger vehicles. This information forms a unique database for agency actions in crashworthiness rulemaking, developing consumer information programs on occupant crash protection, and the development and evaluation of countermeasures to reduce occupant injury. Beginning in 1992, CDS also began collecting key crash avoidance information to support development of performance guidelines that Intelligent Vehicle/Highway Systems (IVHS) countermeasures should meet. CDS is the sole source of data by which the agency and the highway safety community determine the details of pre-crash events, vehicle crash performance, and injury causes and outcomes. These data are used to understand what kind of performance vehicle countermeasures would have to provide to help avoid crashes in real world situations. In the GES, basic crash data on all types of highway crashes are collected from about 45,000 police reports annually. The GES data are used to assess the state of, and determine trends in, overall highway safety in the nation and to add a national perspective to detailed analyses from other data sources. It is the only database currently in place that can provide national estimates for all police-reported traffic crashes including trucks, pedestrians, and motorcyclists.

Program Description

The vehicle-trauma detail of NASS CDS and the national crash trend data found in NASS GES form the foundation for a comprehensive understanding of both the relationship between vehicle crash severity and occupant injury and the scope of the highway safety problem. These data are not available from any other data system.

CDS data are collected at 24 sites in 17 states and GES data are collected at 60 sites (including the 24 CDS sites) in 26 states. Police-reported crashes are sampled in order to produce nationally representative crash data. Highly specialized NASS CDS researchers under contract to the agency collect data at the crash scene, inspect the vehicle for specific damage and countermeasure performance, identify injuries from hospital and other medical records, and determine causes of injury.

NASS data have been coded electronically in computerized data files for statistical analysis since 1977. The NASS data base includes detailed data on a sample of over 96,000 minor, serious, and fatal crashes. Custom software incorporating automated quality control is used for data entry. Additional case data, such as vehicle photographs and scene diagrams, are retained for detailed analysis by the agency and the highway safety community. Contractor staff are trained in NASS investigation procedures at the Transportation Safety Institute in Oklahoma City, Oklahoma. Performance of contractor staff is carefully monitored against defined goals to assure accuracy and completeness of data sampling and collection.

Police reports used as the source for GES data are collected by either CDS teams or part-time contractor personnel at non-CDS locations. Data are converted into a common format and coded in the electronic file at one central contractor location. All CDS and GES data are controlled carefully to protect the privacy of the people involved. NASS data are available in electronic data files and in annual reports for selected years. These data are essential to a variety of regulatory and enforcement initiatives. Currently NASS CDS data are supporting research and rulemaking in light truck side impact and light vehicle rollover crash protection, head injury protection, and occupant ejection. Other uses of the data include in-depth engineering analyses of crashes involving automatic occupant protection systems and evaluation of pre-crash avoidance maneuvers for the problem definition stage of the IVHS program which is currently focusing on crash types and countermeasure scenarios most amenable to improvement through improved man/machine interface.

While NASS is currently the only means available to the agency to collect crash data that are representative and in the detail required for research and rulemaking needs, initiatives are underway to find potential, cost-effective alternatives. States are making progress in linking medical outcome data with the police accident reports, and this activity will proceed under the program authorized by the Intermodal Surface Transportation Efficiency Act (ISTEA) to examine belt and motorcycle helmet effectiveness as described in the State Data portion of the NCSA budget request. Also described in the State Data section is an attempt to use existing automated hospital outcome data to support similar data needs of the CDS which currently must acquire and interpret hospital emergency room and discharge summary documents. Various projects also are underway to explore the application of new technologies to improve the efficiency and accuracy of vehicle damage data acquisition by the CDS. However, none of these alternatives will ever replace the on-scene field investigation currently performed by the CDS investigators. There are no uniformly detailed data sources for the pre-crash events that are now being demanded for the IVHS and other sophisticated crash avoidance programs. The crashworthiness needs of the agency demand detailed data on vehicle crash performance, occupant kinematics and occupant injury sources to identify specific design/performance issues and to develop and evaluate appropriate countermeasures. Police accident reports do not contain the level of detail needed to do this. The ongoing initiatives and projects discussed, however, may potentially improve the efficiency of current field operations.

FY 1993 Program

In FY 1993, NASS is continuing at the same budget level of $8.724 million that was appropriated for FY 1992. NASS will conduct investigations of serious crashes and collect and code data at 24 CDS sites and 60 GES sites. Indepth reviews of CDS and GES data elements are to be conducted. Extensive revisions and expansions were made this year in CDS data elements (e.g., IVHS related precrash information and upgraded trauma data for crash injury quantification) in response to earlier user requests. NASS CDS also has adopted the Association for the Advancement of Automotive Medicine (AAAM) 1990 injury scales which are more detailed than previous injury scales and allow more detailed documentation of the nature of injuries received in the crash. About 5,000 crashes will be investigated at the 24 CDS sites bringing the total data in the detailed CDS file to over 35,000 cases. Information on about 45,000 crashes was entered into GES data files. An annual data report was issued for GES and a multiyear CDS report was prepared.

All 26 field contracts are being recompeted in FY 1993, incorporating a simplified contract structure that is expected to improve field productivity and reduce agency management effort. Work will continue in FY 1993 on upgrading and reprogramming the CRASH algorithm which is essential for relating crash severity to injury levels, particularly for newer vehicle designs.

FY 1994 Budget Request Justification

The $9.6 million requested for FY 1994 will continue NASS data collection at the FY 1993 system level of effort. All 26 field contracts are to be recompeted in FY 1993 by combining the previous multiple contract structure into two contracts. This new contract structure is expected to improve field productivity and reduce agency contract management effort. An allowance for increases in labor costs in these contracts ($260 thousand) is included in the FY 1994 request as well as funds ($250 thousand) for the final closeout of the 26 completed contracts which will be replaced by two contracts during the summer of 1993. Given the agency's need for increased precrash data to develop specifications for the IVHS program, additional funding ($325 thousand) is required to update data elements and provide related training, procedures, quality control checks and equipment to acquire these data. Data on precrash avoidance maneuvers are crucial to the problem definition stage of the IVHS program which is currently focusing on crash types and countermeasure scenarios most amenable to improvement through improved man/machine interface. NASS CDS is the sole source of data by which the agency and the highway safety community can determine the details of pre-crash events, vehicle crash performance, and injury causes and outcomes.

Accomplishments

- Collected and coded a sample of over 45,000 crash reports for the GES in order to provide national estimates of the highway crash statistics, and to provide information on trends in highway safety issues since 1988.
- Collected detailed, in-depth data on a sample of over 5,000 passenger car, light truck and van crashes in CDS, with emphasis on late model year vehicle crashes resulting in serious injury.
- Published in 1992 the fourth annual GES report of police-reported traffic crashes in the United States and incorporated GES data in other agency reports including the Medium and Heavy Truck Report and various highway crash fact sheets.
- Released annual GES and CDS statistical files for sale to the public and continued making CDS case records, with personal identifiers removed, available to the public for engineering analysis.
- Completed the first year of data collection in 1992 for additional rollover causation factors in both CDS and GES, and additional on-scene roll dynamics data in CDS to support agency rulemaking and research.
- Added data elements to both CDS and GES in order to increase the amount of data collected on pre-crash maneuvers to support problem definition for IVHS program activity.
- Updated CDS trauma data coding procedures to incorporate the Association for Advancement of Automotive Medicine (AAAM) 1990 injury scales and added other trauma data elements to improve understanding of crash injuries and help support development of countermeasures.
- Continued the collection of extensive drug evaluation classification data for involved drivers in the CDS sample to support problem identification work.

- CDS cases provided in-depth injury information in air bag and automatic belt data for engineering analyses for FMVSS 208 evaluation.
- Utilized CDS statistical data for crash protection research and regulatory actions on light truck side crash protection, passenger vehicle rollover crash protection, interior head injury protection, door retention components, and seat strength.
- Utilized GES and CDS data in preliminary regulatory actions, including child booster seats, reflective materials on heavy trailers, and truck rear underride guards.
- Utilized GES and CDS data in numerous non-regulatory reports including pedestrian/bicyclist accidents, costs of motor vehicle crashes, school bus crashes, blind spots for heavy trucks, child seat effectiveness and child seat testing in side impacts, and fatalities and injuries in passenger car rear center seats.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Data Analysis Program	$1,575	$1,575	$1,840

Program Objective

The principal objective of the National Center for Statistics and Analysis (NCSA) data analysis program is to analyze motor vehicle crash and related data to support the agency's research, rulemaking, enforcement and traffic safety efforts. The results of these analyses not only form the basis for agency decisions affecting motor vehicle and traffic safety, but also are used by the entire highway safety community to understand problems, order priorities, and target resources where they will be most effective.

Program Description

The data analysis program provides analytical and statistical support to the agency and the highway safety community at large in the general areas of data analysis, sampling and survey design. In general, these analyses have one or more of the following objectives: (1) relate human, vehicle, environmental and roadway characteristics to crash frequency and the severity of injuries sustained in these crashes; (2) identify injury mechanisms and associated crash dynamics in motor vehicle crashes; (3) evaluate the effectiveness of crashworthiness, crash avoidance and traffic safety efforts; (4) monitor the magnitude of the traffic safety problem; and (5) quantify the benefits resulting from proposed agency initiatives. NCSA's major analytic activities are guided by an agenda developed at the beginning of each fiscal year, with direction provided from all program offices in the agency. This analytic agenda becomes the basis for major analytic work to be initiated in that fiscal year. Analyses identified in this agenda are carried out primarily by NHTSA's professional staff.

In addition to carrying out these analytic functions, the analysis program also produces regular statistical reports summarizing particular aspects of the nation's motor vehicle crash problem. At present, NCSA produces annual statistical summaries of total and fatal crashes, in addition to separate reports on alcohol involvement in fatal crashes, medium/heavy truck crashes, occupant protection, pedestrians, motorcycles and occupant injury. These reports serve as indispensable reference material to help the highway safety community understand the nature and extent of problems in these areas. Further, NCSA responds to approximately 5,000 telephone inquiries for crash statistics and other information each year. These requests come from the public, highway safety community, foreign governments, Congress, and the motor vehicle manufacturing industry.

FY 1993 Program

During FY 1993, NCSA will continue to provide analytic support to meet the growing needs of the agency and the highway safety community for assessing the overall impact of highway safety initiatives, examining long-term trends in motor vehicle crashes, and identifying crash/injury causation mechanisms. While the majority of the high priority analytic studies will be conducted by NCSA staff, both data processing and technical support are required to maintain the level of analytic support provided to the agency.

A major portion of available funds is dedicated to providing both mainframe and PC-based data processing for data retrieval and statistical analysis, supplemented by the technical support required to maintain these systems. Another funding item involves the production of regularly published reports that are prepared and issued to support highway traffic safety programs. Funds also are used to purchase vehicle registration data from R.L. Polk which are used as a measure of exposure for the different make/models of vehicles, in order to conduct analyses of the performance of automatic occupant protection systems and other vehicle-related analyses such as those associated with light duty vehicle rollover. Another significant portion of NCSA's analytic resources are directed toward improving the quality and statistical utility of all databases available to the agency for analysis, including its own data sources, as well as those available from police-reported accident data, trauma data, and other sources. A typical quality control initiative involves having an independent contractor replicate the coding of crash data information from the original sources to measure the quality of the main data base contractors.

FY 1994 Budget Request Justification

The funding request of $1.8 million for FY 1994 will be used to maintain the current level of analytic support provided to various agency programs and meet expanded requirements for technical support and analysis of medical outcome data. An estimated $1.575 million portion of the current funding is needed to provide data processing support required by the data analysis program. This includes support for both a PC-based data analysis system and mainframe timesharing, for maintenance, and for analysis of larger data files.

Just as highway traffic safety problems and potential solutions evolve, so does the challenge of analyzing data as it becomes more complex. Problem identification has become ever more complex as the agency has begun to target specific populations with tailored behavioral and educational programs. Future behavioral programs will have to consider the growing population of older drivers, the apparent change in fatal crash risk for women drivers, and hard to reach populations in order to encourage belt use and deter drinking and driving. Vehicle issues are increasingly complex as crash avoidance and intelligent vehicle-highway systems become high priorities. This complexity is magnified by the increasing availability of more kinds of data from different, and not necessarily compatible, sources. These new data include death certificate information provided by the National Center for Health Statistics on the nature of injury, hospital emergency room and patient discharge information collected by states. These medical outcome data provide a valuable source of information on injuries received by the various roadway users as well as the costs of these injuries. As the benefits of implementing successful approaches to reduce death and injury can be quantified in terms of societal costs, this provides additional information that can be used by states in their efforts to target resources devoted to injury control mechanisms.

The expanded requirement for technical support results from the growing needs of the agency, especially in the following areas: traffic safety program monitoring/evaluation of countermeasure effectiveness ($100 thousand) for programs targeted at the older driver, women, youth and hard to reach populations, and for analytical assistance to states ($65 thousand) to support highway safety legislation. Assistance to states in the areas such as identification of effective approaches to reducing drinking and driving and increasing the use of occupant restraints, as well as quantifying expected benefits from implementing successful approaches, provides states with the information required to support passage of traffic safety legislation. The increased analysis of medical outcome data ($100 thousand) stems from the increasing availability of trauma-related data systems which are being implemented by the states.

Accomplishments

- Using state data files in 1992, obtained as part of the State Data Program, conducted analyses in support of the agency's investigation of the relationship between vehicle size and safety, focusing on collisions between two cars, car and heavy truck, and single-vehicle non-rollover fatalities which are critical to the fuel economy standards debate.

- Using data from NASS for 1982-1986 in 1992, analyzed data on occupant head injuries and estimated the target population for projecting potential benefits of upgrading FMVSS 201, Occupant Protection in Interior Impacts.

- Using data from FARS, updated in 1992 earlier work to estimate the number of fatalities occurring in crashes involving passenger cars and light trucks in underride with heavy trucks; work was incorporated as part of the agency's Preliminary Regulatory Evaluation regarding truck underride guards.

- In support of the agency's investigation into the possibility of amending FMVSS 222 (school bus occupant safety) in the areas of wheelchair securement in vehicle interiors and during the operation of wheelchair lifts, data from the Consumer Product Safety Commission's National Electronic Injury Surveillance System (NEISS) were reviewed in 1992 to develop estimates of the prevalence of fatal injury.

- Conducted in 1992 an analysis of the effect of the age 21 minimum drinking law in the State of Virginia. The analysis used data from FARS, supplemented by driver licensing data, to estimate the lives saved by raising the drinking age.

- An analysis of the changes in female driver fatalities relative to their male counterparts was conducted in 1992 using data from FARS. This information is critical to guide formulation of targeted highway safety programs.

- Performed identification and analysis in 1992 of the major vehicle, driver, and roadway characteristics associated with young adult involvement in fatal and other crashes in order to support development of targeted highway safety initiatives.

- An analysis of the long-term trends in motorcycle crashes was conducted in 1992 to identify significant vehicle, operator and highway characteristics associated with motorcycle crashes.

- The issues surrounding the Clean Air Act and the nation's energy policy focused on the need for additional technology to reduce vehicle emissions escaping into the atmosphere. One option called for changes in the on-board refueling vapor recovery system which might increase the risk of vehicle fire. This analysis utilized data from four states to address the question of whether the addition of evaporative canisters changed the risk of vehicle fire in cars produced after model year 1970.

- State accident data were utilized to examine injury rates for specific passenger vehicles in selected crash modes as an aid in the process of selecting vehicles for enforcement program compliance testing.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
State Data Program	$655	$953	$1,436

Program Objective

The objective of the State Data Program is to fully develop the analytic potential of all state data which are relevant to highway safety, e.g., police-reported accident data, medical outcome data, and exposure data, and to understand and work toward correcting the limitations of these data, thereby increasing their analytic utility to the highway safety community. These data provide the basis for state efforts to identify highway safety problems and define countermeasure programs to address them.

Program Description

State data are an important source of information for addressing national, state, and local highway safety issues, and are particularly suited for examining the statistical relationships between vehicle design characteristics, crash involvement and injury propensity. One basic component of the state data program is obtaining accident data files from states and making those files usable to agency analysts, by converting them into a format which can be processed by the agency's analytical software. However, while these files have been used in many agency analyses, they differ greatly not only in the type of information they contain, but also in their quality. These differences place great limitations on the extent to which data can be used to support state and national highway safety efforts. In addition, medical outcome data, rich in potential for describing crash related injuries, are not routinely collected by all States. While most States collect some medical outcome information, only a handful have information on causes of injury. Medical outcome systems which do exist are not yet linked routinely to crash data. It is difficult to establish the linkage to motor vehicle injury. The balance of the State Data Program involves working with states to improve the analytic utility of their files and the analytic capabilities of the states themselves, and to develop new sources of data, e.g., medical outcome data, which could greatly improve highway safety analyses at all levels.

FY 1993 Program

During FY 1993, NCSA will continue its efforts to provide and improve state data in support of its analysis program. Accident data files from 17 states will be obtained, documented, and converted into a format which can be used by the Statistical Analysis System (SAS). These data bases will be made available for use by agency analysts. Examples of the many current analytical uses of these data are provided under the accomplishment sections of this program and NCSA's Data Analysis Program. Employing these data bases, program staff also will make analytical retrievals to provide for the informational needs of NCSA and other agency offices.

To improve state data and state analytic capabilities, efforts will continue toward implementing the results of the agency's project to enhance police reported crash data, the Critical Automated Data Reporting Elements (CADRE) for Highway Safety Analysis program. The agency will work with individual states, develop training programs, and provide technical leadership in the use and promotion of the value of these critical elements. In addition, NCSA will continue to provide states with technical assistance, since many states frequently lack the statistical expertise to carry out analyses which support the development and evaluation of their highway safety programs. NCSA also will conduct, in cooperation with Traffic Safety Programs (TSP), Regional Operations, the States and other organizations, a second conference on the analysis of state data. The conference will highlight recent applications of state data and inform participants on current analytic issues and methods. Given that medical outcome data have a great potential to enhance crash data, NCSA will begin an effort to develop a model medical outcome data system based on a survey of state trauma data systems, in cooperation with TSP, states, the Centers for Disease Control and other interested parties. The goal of this system will be to satisfy the needs associated with evaluating injury treatment programs, injury prevention efforts, and the effectiveness of emergency medical service (EMS) operations, while providing the data necessary to link to police reported accident data.

NCSA will work with seven states to link crash and medical outcome data to produce a report to Congress on the benefits of safety belt and motorcycle helmet use. Funding for this project was provided in FY 1992 under the ISTEA. Participating states were selected in FY 1992 and consist of those with systems mature enough to provide 12 months of medical outcome and cost data from emergency medical services, emergency departments, outpatient records, hospital discharge, and follow-up summaries. Participating states will link these data bases to produce a Crash Outcome Data Evaluation System (CODES) from which data for the report to Congress will be obtained. NCSA's efforts will involve meeting with the grantee states to outline the scope of the project, providing technical expertise on probabilistic methods of linking data files and in other areas, and providing forums for the exchange of technical information on problems experienced during the project.

FY 1994 Budget Request Justification

NCSA's FY 1994 funding request of $1.4 million will support efforts to obtain copies of state motor vehicle crash data files, and to convert them into a format which can be used by agency analysts. The bulk of this work will continue to be performed by contractors and the cost of these contracts is included in this budget. Because these data files are a primary resource for analysts in NHTSA, NCSA and its contractor staff will continue evaluating and improving their useability and accessibility. NCSA will continue to carry out plans to encourage state adoption of the CADRE and other data elements necessary to improve their data bases, and will provide technical assistance to states to assist in development of their analytical capabilities. Using data developed from a survey of State Emergency Medical Services Directors and State Hospital Data Base Administrators done in cooperation with the Centers for Disease Control, NCSA will continue to provide states with guidance and assistance in the development of a medical outcome data system suitable for addressing state and local highway safety issues when linked with crash data, working towards developing a model system. NCSA will continue to work with those states funded through the ISTEA to complete their CODES data base. These states will provide a copy of their data bases to NCSA and a report on the benefits of safety belt and motorcycle helmet use. This state information will contribute to NHTSA's upcoming report to Congress on safety belt and motorcycle helmet benefits.

The 1994 budget request reflects cost increase adjustments to the base program from the 1993 appropriation level ($74 thousand). Costs for contract staff necessary to procure, process, and document the data files from states continue to increase annually. Data processing costs continue to increase as the demand for data from our systems increases.

As indicated above, because of the ISTEA, several states will be providing NCSA with Crash Outcome Data Evaluation System (CODES) data bases, produced by linking crash and medical outcome data. These data bases offer a rich potential for analyses in many highway safety areas. NCSA will implement a project to explore the data bases, develop proposals for more detailed analyses, and determine how the data can be used to support safety efforts such as vehicle crashworthiness, EMS, police enforcement, and alcohol programs ($257 thousand).

Certain injury information, currently collected in the NASS CDS, is potentially available from automated trauma data sources. A program to explore the trauma data available in the 17 states of the CDS, and the extent of automation of such data as well as legal and privacy limitations will be undertaken ($152 thousand). The findings of the survey will be used to plan for possible implementation of this source of data for the injury outcome component of the NASS CDS and other agency data files.

Accomplishments

- Continued to process the data files from 17 states into formats usable by analysts through the Statistical Analysis System (SAS) and converted data from six states into an analysis-compatible format to support the Crash Avoidance Research Data File (CARDFile).
- Data from state crash data files were used to support analyses in the following areas: vehicle rollover rulemaking, fire occurrence in GM pickup trucks, inadvertent safety latch opening, relationship between vehicle weight and safety, IVHS/TravTek Florida study, occupant protection and anti-lock braking systems, comparison of New Car Assessment Program and "real world" crashes, and injury rates for specific passenger vehicles in selected crash modes.
- Obtained nationwide agreement on the substance of the 18 CADRE data elements to appear on state traffic records files.
- Published a final Federal Register notice in 1992 announcing CADRE to users.
- Provided technical assistance in 1992 to nine states interested in implementing CADRE. Nine states have adopted CADRE in their traffic records system.
- Started a cooperative work effort with the Centers for Disease Control to assist in initiating a national trauma data inventory. This inventory will assist in targeting states for developing linked medical outcome and crash report data bases.
- Tested in 1992 state crash/trauma data linkage methodology software for use by states.
- Entered into cooperative agreements in 1992 with states to initiate a Congressionally-mandated study (ISTEA Section 1031(b)) of safety belts and motorcycle helmet use benefits. Agreements require participating states to develop sophisticated crash, medical outcome, and medical payment information data linkages in order to properly complete the study.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Restraint Usage Data Program	*	*	$350

* Funding for observational surveys of safety belt and motorcycle helmet usage was previously included within the agency's budget for the former Office of Driver and Pedestrian Research, Research and Development. This function was supported by Highway Safety Programs funds in FY 1992 and FY 1993.

Program Objective

The objective of the Restraint Usage Data Program is to provide information on safety belt, child safety seat, and motorcycle helmet use. The program's goal is to increase the use of these important protective systems. This program helps target population segments requiring educational efforts to increase safety belt, child safety seat and motorcycle helmet use and subsequently reduce deaths and injuries.

Program Description

The agency develops and implements a variety of programs at national and state levels which promote the use of occupant restraints. Many of these programs target specific age groups or occupants of specific vehicle types. In order to identify which of these groups should be targeted and to measure the results of the program, reliable information is necessary. Data on age, sex, and type of restraint used by passenger vehicle and motorcycle occupants, as well as information on the use of child restraint devices, are some of the types of information needed. Previously, the agency obtained much of this information through its program for measuring trends in restraint usage, the discontinued 19-City Survey. That program was canceled in FY 1992. The agency currently is relying on state surveys to measure progress in reaching 70 percent usage nationwide. This information unfortunately does not meet all of the agency's needs in this area. Child safety seat use and misuse information is not provided. Information on automatic versus manual safety belt use is not provided, and information on the demographics of safety belt users also is not available. This activity will support restraint use/misuse observational surveys which will complement the data that will be provided by state belt use surveys.

FY 1993 Program

Early in 1992 the agency's 19-City Survey, which had been in use for measuring trends in restraint usage, was discontinued. The agency is planning on meeting its needs for information on child safety seat use/misuse, automatic belt use, and demographic information related to belt use with new observational surveys. In FY 1993, NCSA will implement a program to supply this information, and it will include observing restraint use in passenger and other vehicles, as well as motorcycle helmet use. This new program also will include options for measuring child safety seat use and misuse.

FY 1994 Budget Request Justification

NCSA plans to continue the restraint data use program developed in FY 1993. It will likely include a national survey observing restraint usage in passenger vehicles, other vehicle types, and motorcycles. A task order contract with a survey firm to be procured in FY 1993, will provide for design, data collection, and estimation for this survey. Special studies are also planned to assess the misuse of child safety seats. Special studies will be required due to the need to have close proximity in order to observe the actual attachment and use of the child safety seat.

Accomplishments

- Completed report to the Congress in 1992 identifying various options for collection of restraint use data.
- Completed an assessment of agency needs for occupant restraint/motorcycle helmet use data in 1992.
- Began procurement process to obtain a contractor to provide support in designing and collecting occupant restraint use data.

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Special Crash Investigations	$315	$315	$315

Program Objective

The Special Crash Investigation (SCI) program provides the flexibility to acquire detailed engineering information on crashes of special interest which fall outside the established scope or criteria of other agency data systems. It is the agency's sole resource for examining the safety impact of rapidly changing technology and exploring alleged or potential vehicle defects. These include but are not limited to investigation of crashes in which an automatic restraint system appeared to operate in an unexpected manner, crashes involving heavy trucks, crashes involving children in restraints, and serious school bus crashes not investigated by other Federal agencies. As new highway safety problems emerge, this program has a capability to respond quickly for collection of field information to support agency analysis and appropriate action.

Program Description

This program utilizes highly skilled, geographically dispersed crash reconstruction teams to determine relevant crashworthiness and causation issues in selected crashes. These assessments involve determination of crash severity levels, occupant injury mechanisms, restraint use assessments, and the role of vehicular components and characteristics in crash events; and aid in the identification of countermeasures for injury reduction and crash avoidance. These major crash investigations are coordinated with other relevant Federal agencies. Major support has been provided to the agency's effort to monitor the real world field performance of automatic restraints, particularly air bags, which has resulted in the investigation of approximately 60 vehicle crashes each year. Support also has been provided to the agency's enforcement and rulemaking programs through the investigation of selected school bus crashes. An electronic data file system has been created and is utilized for information storage and retrieval on these crashes.

FY 1993 Program

The FY 1993 budget will continue the work of four special crash investigation teams which conduct clinical, indepth crash investigations on selected crashes not covered under the existing NASS and FARS programs. These crashes involve automatic restraint systems (including air bags), child restraints, school buses, potential safety defects, and other agency priority issues. In FY 1993 the contracts for field team operations are being recompeted and three new contracts will be awarded for operation in geographical areas consistent with NHTSA's regional structure.

FY 1994 Budget Request Justification

The 1994 budget request of $315 thousand provides for the continuation of the ongoing SCI program to conduct clinical, indepth crash investigations on crashes of special interest which fall outside the established scope or criteria of other agency data systems. This will provide the agency with continued capability to conduct approximately 60 clinical crash investigations annually of automatic restraint systems (including air bags), child restraints, school buses, potential safety defects, and other agency priority issues at the current level. All automatic restraint crashes will be coded and entered in the electronic data file. The SCI program is the agency's sole resource for examining the safety impact of rapidly changing technology and exploring alleged or potential defects.

Accomplishments

- Completed over 60 crash investigations involving automatic restraint performance, school bus pedestrian fatalities, potential defects, and other issues of concern to the agency. The information collected allowed the agency to determine that most of the reported air bag problems were minor in nature.

- Completed the second year of data collection for cases involving child restraints in conjunction with the Washington Children's Hospital trauma center.

- Completed updating of the automatic restraint electronic data file and transfer of approximately 1,300 cases to publicly accessible storage facilities.

TECHNOLOGY TRANSFER

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Technology Transfer	$40	$40	$40

Program Objective

The objective of this program is to inform a broad community of people interested in motor vehicle and highway safety about NHTSA's research results. This will facilitate a more effective use of NHTSA research to improve motor vehicle and traffic safety.

Program Description

The program involves publication of NHTSA's technical journal, Auto & Traffic Safety. This journal describes recent research results of interest to the motor vehicle and highway safety community.

FY 1993 Program

The FY 1993 request provides for contract support necessary for publishing Auto & Traffic Safety two times each fiscal year. The funds cover technical editing and contents layout for printing each issue.

FY 1994 Budget Request Justification

The funds for FY 1994 will provide the technical editing needed to publish the two issues of Auto & Traffic Safety.

Accomplishments

- Publication of the NHTSA technical journal was begun in FY 1991 by reprogramming funds, and publication continued in FY 1992. Following initial distribution of the first issue, over 800 people requested copies of Auto & Traffic Safety, or asked to be added to the mailing list.

OFFICE OF THE ADMINISTRATOR AND STAFF OFFICES

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OFFICE OF THE ADMINISTRATOR AND STAFF OFFICES

Highlights Statement

The Office of the Administrator budget activity provides for the overall executive direction, coordination and implementation of the administration's programs in accordance with statutory authority derived from the National Traffic and Motor Vehicle Safety Act, the Highway Safety Act, and the Motor Vehicle Information and Cost Savings Act.

In the area of executive direction, responsibilities include providing leadership and direction; initiating new programs to reduce traffic fatalities and injuries; coordinating research and development efforts to meet legislative objectives; determining program modifications to meet changing needs and requirements; and coordinating program and management policies.

In addition to the immediate office of the Administrator, the following staff offices receive funding from this budget activity: Deputy Administrator, Executive Director, Intergovernmental Affairs, International Harmonization, Executive Secretariat, Civil Rights, Public and Consumer Affairs and Chief Counsel.

OFFICE OF THE ADMINISTRATOR

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	41	41	0
Use of Funds:			
Salaries & Expenses	$2,878	$2,908	+$30
Operating Expenses	636	633	-3
Total, Administrator's Office	3,514	3,541	+27
Source of Funds:			
O&R Federal	2,575	2,589	+14
O&R Trust	939	952	+13
Total, Administrator's Office	3,514	3,541	+27

GENERAL ADMINISTRATION

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GENERAL ADMINISTRATION

Highlights Statement

The General Administration budget provides resources for the administrative planning, development, coordination, program evaluation, and economic analysis functions necessary to support the agency's programs and mission.

The administrative portion includes personnel management and organization planning, financial management, management data systems, management improvement, and contracting and procurement. In addition, administrative services are provided for effective program operations, including general services, computerized data services, and technical reference services relating to motor vehicle and highway safety research documents.

GENERAL ADMINISTRATION

Summary of Budget Requirements

	FY 1993 Appropriation	FY 1994 Request	Increase (+) or Decrease (-)
	(Dollars in Thousands)		
Positions:	91	90	-1
Use of Funds:			
Salaries & Expenses	$6,279	$6,334	+$55
Operating Expenses	1,410	1,405	-5
Contract Program	410	800	+390
Total, General Administration	8,099	8,539	+440
Source of Funds:			
O&R Federal	6,233	6,488	+255
O&R Trust	1,866	2,051	+185
Total, General Administration	8,099	8,539	+440

GENERAL ADMINISTRATION

Contract Program Summary

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Program Evaluation	$262	$360	$500
Strategic Planning	-	-	200
Economic Analysis	-	-	100
Metric Conversion	50	50	-
Total, Gen. Admin.	312	410	800

PROGRAM DIRECTION AND COORDINATION

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Program Evaluation	$262	$360	$500

Program Objective

The objective of program evaluation is to measure the effectiveness of NHTSA vehicle actions (motor vehicle safety standards, motor vehicle programs such as NCAP and odometer fraud, etc.) and highway safety program activities in achieving their objectives, such as reducing injuries and fatalities in traffic crashes.

The evaluation results serve as a basis for decisions on present and future rules. Current vehicle safety standards may be modified, deleted or continued as a result of a thorough evaluation and verification of improved safety performance of affected motor vehicles. Evaluation of existing regulations is a requirement for Federal agencies under Executive Order 12291. Evaluation results may be used to direct grant programs and technical assistance designed to improve the effectiveness of State and community highway safety programs.

Program Description

The evaluation of Federal Motor Vehicle Safety Standards (FMVSS), other motor vehicle programs, and highway safety programs systematically establishes the effectiveness of major standards and programs that have been in effect for several years. For motor vehicle standards and programs, the process begins by determining the best evaluation strategy. A series of studies is conducted to collect and analyze actual and surrogate data in order to measure changes in program experience; estimate changes in consumer costs for vehicle safety equipment; and analyze results of effectiveness and cost studies to estimate the benefits and costs of vehicle safety standards.

For highway safety programs, trends over several years in how states respond to Federal initiatives and how they use Federal assistance are analyzed to determine program improvements and the extent to which states and localities continue programs with their own funds after Federal grants end.

FY 1993 Program

The evaluation of automatic occupant protection will continue, with analyses of the effectiveness of air bags and automatic belts. The effectiveness of antilock brake systems in preventing crashes of cars and light trucks is being evaluated. This will help the agency make a regulatory decision on antilock brakes as required in ISTEA/1991.

Highway safety activities are also being evaluated. After the completion of the pilot study for the National Highway Safety Assessment in FY 1992, four States are being surveyed with FY 1993 funding as the first portion of the nationally representative sample of ten states (one from each NHTSA region).

Passenger car safety standards that have been extended to light trucks and vans will be evaluated, such as head restraints, roof crush resistance, side impact protection, and center high mounted stop lamps.

FY 1994 Budget Request Justification

The FY 1994 budget request will continue the Automatic Occupant Crash Protection Evaluation included in the agency's Priority Plan. The National Highway Safety Assessment will be continued in three additional States, for a total of eight States assessed since the start of FY 1992. The agency will select for evaluation either the new dynamic side impact standard for passenger cars or interior impact (Standard 201) or steering system protection (Standards 203 and 204) for light trucks. Additionally, a nationwide odometer fraud study will be undertaken.

The Evaluation Plan for Automatic Occupant Crash Protection calls for analyses during 1990-1994 to evaluate the effectiveness, operating performance and public acceptance of automatic occupant protection. The evaluation plan states that a conclusive evaluation of effectiveness will not be possible until after air bags have been standard equipment for four or five years in high-volume, non-luxury cars, and automatic belt use rates have had two years to stabilize (1992-1993). Thus, the automatic occupant protection evaluation is expected to yield conclusive results in 1994. Computer time-share costs at NIH (National Institutes of Health) will support this evaluation ($25 thousand). The NIH mainframe, time-share computers are needed for analyses of state accident data files which involve extensive creation and storage of special-purpose files covering multiple years of data. Tabulations of crash data from NHTSA's FARS (Fatal Accident Reporting System) are needed for exploratory analyses and will be obtained from the PC-FARS system currently being installed in NHTSA.

The pilot study for the Highway Safety Assessment was completed in FY 1992, and FY 1993 funding will provide for surveys in four additional states, as the first portion of a nationally representative sample. To complete the nationally representative sample, five additional States will need to be surveyed. NHTSA plans to proceed with three of the five States in FY 1994, at a cost of $200 thousand.

One or more of the following standards will be selected for evaluation in FY 1994. The contract support requirement for safety standards evaluation is $75 thousand:

- As cars equipped to meet the new dynamic side impact test requirement come on the market, NHTSA plans to study actual designs to determine what modifications were made to comply with the new Federal requirement and to assess the associated cost. In order to determine which cars already meet the new standard, which cars will be modified, and when these cars will be brought into compliance, several sources of information will be used. A test program as part of NCAP is in place to perform side impact tests on model year 1992 and 1993 cars. Manufacturers have been asked to provide comments and test data on pre-standard models. In addition, manufacturers are supplying information and schedules to the agency covering the MY 1994 and later vehicles that will be certified to meet the new standard. Beginning in FY 1994, compliance tests will be undertaken on a sample of cars certified to meet the standard. The need to perform engineering design studies for side impact protection is important, since several car models currently meet the new dynamic test requirement with no structural and/or material changes. There also would be some ADP time-share activity for evaluating crash and test data.

- As more vehicle safety standards are extended to light trucks and vans, evaluations will be performed in order to determine their effectiveness in preventing or reducing the effects of crashes. Candidates for evaluation include the interior impact protection (Standard 201) and steering system protection (Standards 203 and 204). Selection of the standards for evaluation will be based on the availability of adequate crash data.

The agency Odometer Enforcement Program has been in existence since 1978, providing enforcement support grants to selected States since 1989. In order to define the future of the program, a nationwide assessment of odometer fraud is needed. This project will be undertaken for the purpose of determining used car dealer compliance with odometer disclosure requirements, as well as public awareness of mileage disclosure requirements and the Federal odometer law. This program also will determine the extent of State enforcement of the odometer law, by measuring incidents of fraud, investigations, arrests, convictions, and defrauded consumer recovery. This project will require $200 thousand for FY 1994.

Accomplishments

- Submitted report to Congress on Effects of the Motor Vehicle Theft Law Enforcement Act of 1984 (3/1991).
- Completed evaluation of Motor Vehicle Fires in Traffic Crashes and Effects of the Fuel System Integrity Standard (11/1990). This has led to an agency plan for upgrading FMVSS 301, the Fuel System Integrity Standard.
- Completed study of Effect of Car Size on Fatality and Injury Risk (9/1991).
- Completed tear-down cost study of antilock brake systems (7/1991).
- Completed evaluation of tire labeling standards (1/1992).
- Completed the pilot study in Washington State for the National Highway Safety Assessment (12/1992).
- Completed Interim Report of the Evaluation of the Effectiveness of Occupant Protection (FMVSS 208) (6/1992).
- Completed Tear-Down Cost Study of Manual and Automatic Crash Protection Systems in 1988-1992 Model Year Passenger Cars (9/1992).
- Completed an evaluation of the performance of Antilock Brake Systems for cars and light trucks, based on stopping tests under various road conditions (5/1992).

PROGRAM DIRECTION AND COORDINATION

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Strategic Planning	-	-	$200

Program Objective

The Department recognizes that strategic planning is crucial to the responsiveness, effectiveness, and productivity of its programs. NHTSA has responsibilities which require an ability to anticipate both behavioral and technological change that involve long lead times for development and implementation. Therefore, strategic planning has been institutionalized in NHTSA.

Strategic planning will provide a long-term vision for the agency and it is the mechanism for effecting and implementing change in the organization. Strategic planning will set clear goals and objectives against which the agency can evaluate its performance. It will enhance policy making, organization, and management, resulting in improved efficiency and effectiveness. It will help ensure that funds and resources are dedicated to the projects and programs that offer the greatest benefit.

Program Description

Strategic planning formulates demographic, economic, institutional, and technological forecasts into the 21^{st} Century. Particular objectives are to examine and make projections of the future for highway safety; study technological opportunities and challenges; and assess agency institutional relations with State and local government, Congress, industry, private groups, and others involved in its issues. Strategic planning also examines NHTSA's organizational and management effectiveness. Using this information as a basis, senior management establishes the future direction of NHTSA by defining the agency's vision, mission, values, and goals. From these efforts will come a strategic plan and business implementation plans for programs of the agency.

FY 1993 Program

In FY 1993, the agency will prepare a set of fourteen issue papers supporting strategic planning. These papers cover the critical areas of future planning within NHTSA: motor vehicle technology, the automotive industry, highways and traffic, State and local highway safety programs, the agency's human resources, its institutional relationships, information resources management, the organization and management of the agency, emergency medical services, highway loss and related data, energy and the environment, use of media, demographics, and the economy. These papers will provide a backdrop for strategic planning which will begin with construction of a range of possible future conditions and opportunities for the agency. It will continue with development of statements of the agency's vision, mission, values, and goals.

FY 1994 Budget Request Justification

Drafting of the agency's first strategic plan begins in FY 1993. This plan will embody the agency's goals for the future and strategies that will be employed to achieve the goals. This strategic plan will provide the basis for program development and resource allocation decisions. NHTSA is requesting $200 thousand to complete and implement the strategic plan in FY 1994, and for follow-on strategic planning and management activities. These activities include providing technical assistance to individual parts of NHTSA to develop business implementation plans to carry out the strategic plan; studying how voluntary consensus standards organizations can be enlisted to develop and update standards to facilitate the marketing of motor vehicle safety; and assessing long-term information needs for improving traffic and motor vehicle safety and for other subjects within NHTSA's purview.

In FY 1993 the first phase of a two-phase strategic planning support project was initiated. This project will provide support for the development and implementation of the agency's strategic plan. This project also will provide support to the agency in developing Business Implementation Plans. Major programs within the agency, including vehicle research, rulemaking, and traffic safety, will develop business implementation plans as a first step in carrying out the overall strategic plan. These business plans will cover one year periods and will tie the Strategic Plan to particular budget years. Support may include identifying alternative approaches and formats for business implementation plans, administrative support, and document preparation. NHTSA is seeking $125 thousand to implement this project in FY 1994.

The agency will study how voluntary consensus standards organizations can help to advance traffic and motor vehicle safety. These organizations can develop and update standards to facilitate the burgeoning market for motor vehicle safety. This study will explore other ways that the private sector can be encouraged to help reduce or eliminate the Federal government's role in other activities. This will require an estimated $50 thousand in FY 1994 funds.

Finally, the agency will assess the strategic information needs for improving traffic and motor vehicle safety and for other subjects under NHTSA's jurisdiction. NHTSA currently collects a variety of data on motor vehicle crashes and injuries, and on related safety activities such as safety belt use. This project will look at longer term information needed to realize the objectives of strategic planning, and cost-effective ways of meeting those needs. NHTSA estimates that this study will require $25 thousand in FY 1994.

Accomplishments

- In January 1992, the Strategic Planning Division was formed and staffed. It began work on the first phase of strategic planning, and this is continuing in FY 1993.
- The activities in the first phase include: dialogue with the agency's staff and with people outside the agency who have an interest in its activities; making projections of reasonably predictable, slowly changing variables (e.g., demographics, energy supply, vehicle characteristics, roadway use, etc.); studying NHTSA's organization and management, and its institutional relations; and assessing the state of technology. This work will be completed in FY 1993.
- In July 1992, the agency published a Federal Register notice announcing its strategic planning initiative and inviting comments on a number of key issues. Comments received in response to the notice will be analyzed in FY 1993 to support the development of the agency's strategic plan.
- Work began on 14 issue papers covering critical areas of future planning. Among these are papers on energy and the environment, demographics, vehicle characteristics, roadway characteristics and use, data collection, human resources, and information resource management.

PROGRAM DIRECTION AND COORDINATION

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
Economic Analysis	-	-	$100

Program Objective

The objective of this program is to assess and quantify the economic consequences of injuries which result from motor vehicle crashes.

Program Description

NHTSA's primary mission is to reduce the injuries and fatalities resulting from motor vehicle crashes. As useful and necessary as tabulating crash results is to NHTSA, it does not by itself provide a complete picture of the consequences of injuries and fatalities on individuals involved in crashes or on society as a whole. Although the number of fatalities resulting from motor vehicle crashes has been reduced, there is some evidence that the number of injuries may be increasing. This program is concerned with measuring the costs and other consequences of motor vehicle injuries and fatalities. The results are used as part of the decision-making process for allocation of agency resources. The results also are applicable to agency regulatory analyses and evaluations, and they will enhance our understanding of the importance of non-fatal injuries in general.

FY 1993 Program

NHTSA's program will direct two projects. In FY 1992, the agency undertook the analysis of who pays the costs of motor vehicle injuries. That project is continuing in FY 1993, with completion of an analysis of the medical costs resulting from these injuries. An additional project is being initiated to analyze who pays the costs of injuries other than medical costs. These costs include indirect productivity costs, e.g. worker's compensation, public income support programs, private insurance, and other direct costs such as vocational rehabilitation, workplace costs, legal and court costs and vehicle damage. A longer term effort begun in FY 1990 on developing the Functional Capacity Index to assess effects of injury on ability to function within normal ranges of activity, is continuing. The work is intended to provide NHTSA with additional insight into how vehicle crashes impact the quality of life. In FY 1993 the basic work in the index development will be completed and validation of the index will begin.

FY 1994 Budget Request Justification

Most people injured in motor vehicle crashes receive minor and moderate injuries. There is growing evidence that the cumulative impact of this range of injuries represents a major portion of the total impact of motor vehicle injuries. Recent data on injury incidence indicate that this is a greater problem than previously thought. However, the agency has not been able to definitively quantify the consequences of these injuries due to a lack of information describing the costs and non-economic losses associated with these injuries. These data are needed to improve the accuracy of regulatory impact analyses for NHTSA rulemaking actions and evaluation of NHTSA programs. In FY 1994, data will become available as a result of a program required by ISTEA 1991, Section 1031(b), which is concerned with safety belt and motorcycle helmet use. The data bases developed to respond to the ISTEA requirement will contain data on minor and moderate injuries. The bulk of the resources will be allocated to the Functional Capacity Index. Only incidental expenses for computer time are expected for the minor and moderate injury project because the basic data will be obtained from another program.

Accomplishments

- Results of a preliminary analysis of who pays the medical portion of costs resulting from motor vehicle injuries were published in January 1992. These results showed that the Federal government is paying about $1.2 billion a year, mostly from Medicare and Medicaid. A thorough follow-up analysis is planned, and it is anticipated that we will then have the definitive data upon which agency policy decisions can be based.

- A Federal Register notice was published April 15, 1992 describing the agency's development of the Functional Capacity Index. Comments were received from two main groups: the motor vehicle manufacturers, and that portion of the scientific community concerned with injury and its consequences. These comments were used to refine the Index, and validation analysis that are being initiated in FY 1993.

PROGRAM DIRECTION AND COORDINATION

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Metric Conversion	$50	$50	$-0-

Program Objective

The objective of this activity is to convert all agency programs to the metric system of measurement, including regulations and grant administration.

Program Description

In response to provisions of the Omnibus Trade Act of 1988, Executive Order 12770 and DOT Order 1021.D, the Department has undertaken the conversion of its business activities to the metric system of measurement. To minimize disruption, the conversion is being phased in over a five-year period, with the details tailored to the affected constituencies. Since NHTSA's regulatory responsibilities affect the motor vehicle manufacturers, the guidelines being used in the conversion are those established by the Society of Automotive Engineers (SAE).

FY 1993 Program

The FY 1993 program is a continuation of the work initiated in FY 1992. A second notice will be published in the Federal Register responding to comments received to the first notice published in FY 1992, and it will inform the public of the agency's preferred practices. Training of agency staff will continue. Rulemaking is planned which will define the technical changes made in the initial set of Federal Motor Vehicle Safety Standards (FMVSS) which were converted to the metric system.

FY 1994 Budget Request Justification

NHTSA will continue to train its staff, and begin to convert vehicle safety standards. NHTSA will collect crash data in metric units. Additional funding will not be required for FY 1994.

Accomplishments

- A Federal Register notice dated April 21, 1992 announced the agency's plans for conversion. Comments were received and analyzed.

- Training sessions initiated for agency headquarters staff in May 1992. A training video was prepared for regional office staff. Conversion slide rules were provided to all staff.
- Initiated conversion of the Federal Motor Vehicle Safety Standards to the metric system in December 1992.

HIGHWAY TRAFFIC SAFETY GRANTS PROGRAMS

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HIGHWAY TRAFFIC SAFETY GRANTS PROGRAM

SUMMARY STATEMENT

Transportation safety is a key ingredient in the Administration's investment strategy, and basic highway safety grants provided by NHTSA to the State and community safety programs play a major role in improving the effectiveness of countermeasures considered to be the most crucial to improved motorist and pedestrian safety. NHTSA also administers incentive grants to reward States with stronger laws and programs to stop drunk and drugged drivers. NHTSA manages a new incentive grant to encourage States to enact safety belt and motorcycle helmet use laws, and then achieve higher use mandated by Congress. All of these national highway safety grants are authorized by the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA/1991), and their funding needs for FY 1994 are presented and justified in this section of the Budget submission to Congress.

The Section 402 State and Community Grant Program provides for a coordinated national highway safety program. Under a formula established by the Highway Safety Act of 1966, all States, the District of Columbia, the Commonwealth of Puerto Rico and the Trust Territories are provided with grants to encourage and facilitate implementation of more effective programs to improve highway safety. The Section 402 program consists of national safety priorities (such as police enforcement, alcohol safety, occupant restraints and emergency medical responses) that incorporate program guidelines required by ISTEA/1991.

NHTSA administers two incentive grant programs to encourage States to take stronger action to remove impaired drivers from the roads. Funding for Alcohol Safety Incentive Grants (Section 408) was authorized by the Alcohol Traffic Safety Programs Act of 1982. Funding for Section 410 Impaired Driving Countermeasure Incentives was authorized by the Drunk Driving Prevention Act of 1988. ISTEA/1991 authorized a restructured Section 410 program in order to make the incentive more effective in encouraging State efforts to deter impaired driving.

A new Section 153 Incentive Grant Program was created by ISTEA/1991 for States willing to enact safety belt and motorcycle helmet use laws, and then achieve higher use levels mandated by Congress. ISTEA/1991 also provides Highway Trust Fund support for the National Driver Register (NDR) operations, and to help States transition to the new electronic driver license communications system required by the NDR Act of 1982. This new system will strengthen State capability to identify problem drivers operating with licenses that have been suspended or revoked for serious traffic offenses such as drunk driving and hit and run.

The NHTSA FY 1994 Budget request totals $177 million, which includes $173.5 million for the grant programs and $3.5 million for the National Driver Register. The budget proposes grant funding of $123 million for Section 402, $10.5 million for Section 408, $25 million for Section 410, and $15 million for Section 153.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS

Program and Performance Statement

Section 402 formula grants - Grant allocations are determined on the basis of a statutory formula established under 23 U.S.C. 402. States use this funding for reducing traffic crashes, fatalities, and injuries. The grants are used to support State highway safety programs. The States may choose to use the grants to implement programs to reduce deaths and injuries caused by exceeding posted speed limits; encourage proper use of occupant protection devices; reduce alcohol and drug-impaired driving; reduce crashes between motorcycles and other vehicles; reduce school bus crashes; improve police traffic services; improve emergency medical services and trauma care systems; increase pedestrian and bicyclist safety; and improve traffic record systems. The grants also provide additional support for State data collection and reporting of traffic deaths and injuries.

Section 408 incentive grants - The purpose of the Section 408 program is to contribute to highway safety by reducing the number of accidents caused by drivers impaired by alcohol or other drugs. This is accomplished by providing incentive grants to States that adopt tough measures specified by statute. These measures include laws that classify drivers as impaired when their blood alcohol concentration is 0.10 percent; require prompt license suspension for DWI first offenders; impose mandatory sentencing (jail or community service) for DWI repeat offenders; and increase enforcement against drunk and drugged driving.

Section 410 incentive grants - Alcohol-impaired driving countermeasure grants are provided to States that qualify by adopting specified laws and program measures to reduce safety problems stemming from driving while impaired by alcohol and other drugs. Basic grants are issued for achieving criteria that include administrative driver license actions within stated timeframes, lower blood-alcohol content (BAC) laws, statewide police roadside checkpoints, effective under age 21 impairment deterrence, mandatory sentences for repeat offenders, and programs that are financially self-sufficient. Supplemental grants are provided to States that adopt additional specified measures, including .02 BAC laws for under-21 drivers, license plate confiscation, laws against open alcohol containers in vehicles and mandatory BAC testing by police of suspected DWI offenders.

Section 153 incentive grants - Grants are issued to States that qualify by having laws that require the use of safety belts and motorcycle helmets. These States may also receive grants in two subsequent years for achieving belt and helmet use rates specified by statute. These grants must be used by States for programs that educate the public about safety belts, child safety seats and motorcycle helmets, and to support police enforcement of use laws and conduct surveys that monitor public compliance with use laws.

National Driver Register - NDR program funding is provided to improve traffic safety by assisting State motor vehicle administrators in communicating effectively and efficiently with other States to identify problem drivers, i.e., drivers whose licenses are suspended or revoked for certain serious traffic offenses, including vehicle operation under impairment by alcohol and other drugs. States are being encouraged and helped to convert to a new electronic inquiry system required by the National Driver Register Act of 1982. This will provide a more effective system for communicating driver information and, as a consequence, improve State licensing agency decisions on whether applicants should be issued driving permits. This new driver records query system will facilitate rapid and accurate exchange of information between States, and thereby support State decisions on whether to issue a driver license.

HIGHWAY TRAFFIC SAFETY GRANTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

For payment of obligations incurred carrying out the provisions of 23 U.S.C. 153, 402, 406, 408, and 410, section 2007 of the Intermodal Surface Transportation Efficiency Act of 1991, and section 209 of Public Law 95-599, as amended, to remain available until expended, [$150,000,000] $137,000,000, to be derived from the Highway Trust Fund: Provided, That, notwithstanding subsection 2009(b) of the Intermodal Surface Transportation Efficiency Act of 1991, none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which, in fiscal year [1993] 1994, are in excess of [$130,650,000] $134,500,000 for programs authorized under 23 U.S.C. 402, of which [$115,000,000] $118,676,000 shall be for "State and community highway safety grants", [$12,000,000] $12,324,000 shall be for section 153 "Safety belt and motorcycle helmet use" grants, and [$3,650,000] $3,500,000 shall be for the "National Driver Register": Provided further, That none of these funds shall be used for construction, rehabilitation or remodeling costs, or for office furnishings and fixtures for State, local, or private buildings or structures: Provided further, That none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which are in excess of [$11,000,000] $10,500,000 for "Alcohol safety incentive grants" authorized under 23 U.S.C. 408: Provided further, That not to exceed [$5,153,000] $5,268,000 may be available for administering "State and community highway safety grants" [and $150,000 may be available for administering section 410]: Provided further, That, notwithstanding any other provision of law, none of the funds in this Act shall be available for the planning or execution of programs authorized under section 209 of Public Law 95-599, as amended, the total obligations for which are in excess of $4,750,000 in fiscal years 1982 through [1993] 1994: Provided further, That the unexpended balances available for drunk driving prevention programs under 23 U.S.C. 410 shall be available for alcohol-impaired driving countermeasures programs under 23 U.S.C. 410, as amended by Public Law 102-240 and [this Act] Title VI of Public Law 102-388[, except for amounts necessary for the State of New Mexico to continue its drunk driving prevention program under 23 U.S.C. 410 as in effect before the date of enactment of Public Law 102-240]. (Department of Transportation and Related Agencies Appropriations Act, 1993.)

HIGHWAY TRAFFIC SAFETY GRANTS

INVESTMENT

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(HIGHWAY TRUST FUND)

In addition to amounts otherwise available under this heading, for payment of obligations incurred carrying out the provisions of 23 U.S.C. 153, 402, and 410, as amended, to remain available until expended, $7,000,000 to be derived from the Highway Trust Fund: *Provided*, That notwithstanding subsection 2009(b) of the Intermodal Surface Transportation Efficiency Act of 1991, the limitation on total obligations provided under this heading in the Department of Transportation and related agencies appropriations bill for fiscal year 1994 shall be increased by $32,000,000 for programs authorized under 23 U.S.C. 402 and Title VI of Public Law 102-388, of which $4,324,000 shall be for "State and community highway safety grants", $2,676,000 shall be for section 153 "Safety belt and motorcycle helmet use" grants, and $25,000,000 shall be for section 410 "Alcohol-impaired driving countermeasures": *Provided further*, That not to exceed $500,000 of the funds made available for section 410 "Alcohol-impaired driving countermeasures" may be available for technical assistance to the States.

SECTION 402 STATE AND COMMUNITY GRANT PROGRAM

	FY 1992	FY 1993	FY 1994 Request
	(Dollars in Thousands)		
Safety Formula Grant Program:			
Base Program:			
Formula Grants	$112,847	$109,847	$113,408
Grant Administration	5,153*	5,153*	5,268*
Subtotal	118,000	115,000	118,676
Investment Program:			
Formula Grants	--	--	4,324
Total, Oblig. Limitation	118,000	115,000	123,000

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* Amount transferred to Operations and Research account.

Program Objective

The goal of the Section 402 Program is to provide Federal leadership, encouragement and technical assistance to all States in their efforts to develop and implement the most effective highway safety programs for the purpose of reducing traffic crashes and resulting deaths, injuries, and property damage. Section 402 enhances State programs by providing seed money to start new, more effective projects; by catalyzing and accelerating State programs to address major safety issues with an improved statewide strategy; and by leveraging additional State and local investment in highway safety. It has been confirmed by NHTSA studies that, although Section 402 constitutes less than 3 percent of highway safety funding nationally, it continues to have a major positive impact that significantly exceeds its size of funding.

Program Description

Section 402 serves as the Federal government's basic formula grant program to improve State safety activities in National Priority areas. These priorities are described in authorization legislation, and Congress has required that they be implemented through a formal rulemaking process that considers the views of all members of the highway safety community. The national priorities administered by NHTSA are alcohol/drug safety, occupant protection, police traffic services, emergency medical services/trauma care, traffic records, pedestrian/bicycle safety and motorcycle safety. Section 402 also provides funding to support community traffic safety programs and to enhance State data collection and reporting of traffic deaths and injuries. Section 402 also continues to provide significant leadership and assistance to State and community activities focused on:

- Improved safety problem identification processes,
- Public information, education, and enforcement programs to prevent alcohol and, other drug-related driving,
- Programs to encourage increased occupant protection use,
- Technology to improve the efficiency and effectiveness of police enforcement of traffic laws, and
- State program assessment, evaluation, and data base development, particularly in support of emergency medical services (EMS) and traffic records systems.

FY 1993 Program

State and local projects contribute significantly to the success of meeting the nation's safety goals, including increased safety belt use, fewer impaired drivers and a continuing decline in the traffic fatality rate. Examples of recent Section 402 initiatives that have had a significant impact include:

- Linn County, Iowa's Cooperative Multi-Agency Traffic Safety Enforcement Project brought together the Linn County Sheriff's Office, the Cedar Rapids Police Department and the Iowa State Patrol to implement an unprecedented, comprehensive level of traffic enforcement, using $53 thousand in Section 402 funds and $30 thousand in matching local funds. This project targeted excessive speed, drinking and driving, and low seat belt use. The State reported that as a result of this project, overall highway fatalities decreased by 48 percent; alcohol related fatalities decreased by 52 percent; and traffic crashes involving injuries in Cedar Rapids declined by 18 percent.

- Brazos County, Texas's Mobile Videotaping Techniques (VMT) Program trains officers and prosecutors in the production and use of videotapes in the apprehension, arrest, and prosecution of offenders cited for driving while intoxicated. The program was developed with $200 thousand in Section 402 funds to support the training and evaluation, and these funds in turn leveraged $3 million from the private sector to purchase video equipment for local enforcement agencies. The State reported that after implementation of the project, the DWI conviction rate approached 100 percent in most jurisdictions. The project is now financially self-sufficient in Texas, and is being marketed and provided to other States and communities.

New Hampshire's Rural Emergency Medical Services (EMS) System will be enhanced by using a Section 402 grant of $7,500 to provide an expert assessment of needed improvements. The assessment team determined that an improved 911 emergency telephone system was the missing link in providing more responsive EMS service. The State found a creative way to pay for this enhancement, by using a monthly telephone surcharge totalling no more than $7.50 per year on each phone in the State. New Hampshire residents can now expect quicker emergency medical response and faster definitive medical treatment that can be expected to save more lives.

During FY 1993, NHTSA will be working with States to use the Section 402 program to maintain and improve program successes. Although the FY 1993 funding level of $115 million is $3 million less than the FY 1992 level, the States will attempt to maintain the margins of safety accomplished in previous years. Section 402 grants will be targeted for the most critical national highway safety problems.

FY 1994 Budget Request Justification

NHTSA is requesting $123 million for Section 402 in FY 1994. This represents an increase of $8 million, or 7 percent, over FY 1993. Of this increase, $4.3 million is part of the Administration's investment proposal.

The FY 1994 Section 402 program will be a major influence nationwide in achieving the agency's goals of reducing impaired driving, increasing occupant protection use, and continuing reduction in the traffic fatality rate. The 402 Program ensures that States address all key highway safety problems that occur, and that these problems are attacked with the most effective countermeasures available nationwide, as developed and tested in the Federal Section 403 program.

The nation is experiencing life-saving results from State programs assisted by Section 402 grants. Alcohol-related fatalities dropped from 50 percent of total fatalities in 1990 to 48 percent in 1991. This two percent decline was due in part to the efforts of our State programs (which have received continuing Federal technical assistance and grant support for alcohol and other key safety issues). In 1992, the rate of alcohol involvement in fatal crashes continued to decline. Agency estimates for 1992 indicate that alcohol-related fatalities dropped to 45.8 percent. If alcohol involvement had remained at 1991 levels, an estimated 1,600 additional deaths would have occurred in alcohol-involved crashes. The safety belt use rate reached 62 percent in 1992, again due to State programs supported to a significant degree by 402 grants and Section 403 technical support. Fourteen States exceeded 70 percent belt use in 1992, compared to only one State in 1990. The national traffic fatality rate dropped to 1.8 in 1992, the lowest rate on record. Maintaining a continued reduction in safety problems is becoming more difficult to achieve, and resulting safety gains are harder to come by. Through increased Section 402 funding, the agency can mobilize the States to use new, effective countermeasures to attack highway safety problems in all priority areas.

The influence of national guidance and Federal grants provided through Section 402 has produced a significant leveraging effect within the States' highway safety programs. Ongoing highway safety improvements can be expected as public and private sectors continue to unite and escalate their participation in the highway safety arena. Furthermore, the initiation of comprehensive Safety Management Systems in every State, mandated by ISTEA/1991, requires increased coordination of Section 402 programs with FHWA's Federal Aid and Motor Carrier Highway Safety programs.

With adequate funding support, Section 402 program managers at State and local levels can provide effective coordination that will enhance the efforts of all of these programs to reduce deaths and injuries on our highways.

The following Table presents the distribution of Section 402 Grants by State for fiscal years 1992 and 1993, and the expected distribution for FY 1994:

DISTRIBUTION OF SECTION 402 GRANTS
(Dollars in Thousands)

STATE/TERRITORY	FY 1991 ACTUAL OBLIGATIONS	FY 1992 ACTUAL OBLIGATIONS	Estimated Obligations	
			FY 1993	FY 1994
ALABAMA	$1,964	$1,948	$1,895	$2,031
ALASKA	548	564	549	589
AMERICAN SAMOA	274	282	275	294
ARIZONA	1,332	1,554	1,536	1,647
ARKANSAS	1,315	1,303	1,267	1,358
CALIFORNIA	9,329	10,835	10,561	11,316
COLORADO	1,530	1,617	1,574	1,687
CONNECTICUT	1,214	1,210	1,178	1,263
DELAWARE	548	564	549	589
DISTRICT OF COLUMBIA	548	564	549	589
FLORIDA	4,114	4,968	4,851	5,199
GEORGIA	2,627	2,874	2,801	3,002
GUAM	274	282	275	294
HAWAII	548	564	549	589
IDAHO	742	763	740	793
ILLINOIS	4,887	4,671	4,545	4,872
INDIANA	2,527	2,446	2,380	2,551
IOWA	1,773	1,689	1,642	1,759
KANSAS	1,722	1,738	1,688	1,809
KENTUCKY	1,742	1,686	1,640	1,758
LOUISANA	1,856	1,783	1,734	1,858
MAINE	548	564	549	589
MARYLAND	1,657	1,758	1,712	1,835
MASSACHUSETTS	2,221	2,197	2,140	2,293
MICHIGAN	4,014	3,846	3,742	4,011
MINNESOTA	2,291	2,327	2,263	2,425
MISSISSIPPI	1,364	1,343	1,306	1,400
MISSOURI	2,519	2,506	2,441	2,616
MONTANA	756	757	732	784
NEBRASKA	1,170	1,158	1,127	1,208
NEVADA	581	709	689	739
NEW HAMPSHIRE	548	564	549	589
NEW JERSEY	2,789	2,757	2,683	2,875
NEW MEXICO	823	875	860	921
NEW YORK	6,847	6,636	6,458	6,922
NORTH CAROLINA	2,680	2,819	2,745	2,942
NORTH DAKOTA	811	811	788	845
N. MARIANAS	274	282	275	294
OHIO	4,516	4,325	4,207	4,509
OKLAHOMA	1,806	1,803	1,757	1,883
OREGON	1,560	1,587	1,552	1,664
PENNSLYVANIA	4,906	4,682	4,557	4,884
PUERTO RICO	1,199	1,241	1,208	1,295
RHODE ISLAND	548	564	549	589
SEC. OF INTERIOR	548	564	549	589
SOUTH CAROLINA	1,518	1,582	1,539	1,649
SOUTH DAKOTA	744	747	784	840
TENNESSEE	2,163	2,178	2,120	2,272
TEXAS	7,008	7,665	7,371	7,900
UTAH	798	862	838	898
VERMONT	548	564	549	589
VIRGIN ISLANDS	274	282	275	294
VIRGINIA	2,312	2,487	2,422	2,596
WASHINGTON	1,986	2,152	2,083	2,233
WEST VIRGINIA	911	825	804	862
WISCONSIN	2,377	2,359	2,297	2,462
WYOMING	548	564	549	589
UNDISTRIBUTED: ADMIN. COSTS	5,076	5,153	5,153	5,268
TOTAL	$114,653	$118,000	$115,000	$123,000

SECTION 408 ALCOHOL INCENTIVE GRANTS

	FY 1992	FY 1993	FY 1994 Request
	(Dollars in Thousands)		
Obligation Limitation	$20,000	$11,000	$10,500

Program Objective

The goal of the Section 408 grant program is to contribute to the reduction of alcohol-related crashes, injuries and deaths by assisting and encouraging States to adopt DWI prevention countermeasures of proven effectiveness, that are specified in the Section 408 statute.

FY 1993 Program

Two new States, Missouri and Idaho, received grants during FY 1992, and as a result, by the end of FY 1992 a total of 29 States had qualified for Section 408 grants. Of those States, 15 completed their fifth year of funding at the end of FY 1992. The budget for FY 1993 will provide funding for subsequent year grants for most of the States currently eligible for funding. In addition, at least one new State, Nebraska, is expected to be funded in FY 1993.

FY 1993 grant funds will support enhanced State programs and projects to reduce drinking and driving. To maintain Section 408 eligibility each year, States have to strengthen their drunk driving programs, adding new laws or programs and improving existing programs. The targeted funding provided by the 408 incentive program allows States to develop innovative relationships with groups outside the traditional law enforcement community. Several States have instituted programs to train and assist prosecutors to get DUI convictions; Section 408 funds provide technical assistance, expert witnesses, and updates on DUI case law. Additionally, California, for example, is working with the Alcoholic Beverage Control Agency to provide one-day seminars to educate alcohol servers about alcohol and drugs.

FY 1994 Budget Request Justification

Funding requested for FY 1994 will almost exhaust the unused contract authority expected to remain at the end of FY 1993. Over half of the States that have qualified for funding since the inception of the program (in 1984) will have completed all five years of eligibility by the end of FY 1993; and approximately 80 percent of the qualified States will have completed all five years by the end of FY 1994. At the funding level requested for FY 1994, all States eligible under Section 408 would receive incentive grants, except for possibly Hawaii, which may apply for Section 408 funding late in the fiscal year, and therefore would be funded in the following fiscal year.

The requested funds would be used to continue successful State efforts to reduce drunk driving and to develop new and innovative program ideas. To assist them, the agency will emphasize efforts with State highway safety officials, special interest groups and national coalitions that are dedicated to attaining adoption of effective highway safety legislation and programs such as prompt and sure DWI sanctions, lower illegal per se laws, self-sustaining DWI programs, sobriety checkpoints, use of preliminary breath testers, mandatory sentencing, and impoundment of license plates.

Section 408 States, as a group, have made more progress than non-408 States in terms of program improvement and reduction in the proportion of fatalities that involve an intoxicated driver. Section 408 has been, and continues to be, very successful in stimulating the adoption of important drunk driving legislation.

The following information illustrates the active nature of the Section 408 Program. The table indicates both eligible States and States expected to seek eligibility in FY 1993 and FY 1994.

STATUS OF SEC. 408 OBLIGATIONS

State	Actual In FY 1992	Expected In FY 1993	Expected In FY 1994
Arizona	$1,122,261	$280,565	
California	4,490,817	4,490,817	$4,490,817
Colorado	724,148	724,148	724,148
Connecticut	461,939	461,939	461,939
Hawaii	524,000	262,000	
Idaho	375,437	375,437	225,262
Illinois	3,718,597		929,649
Kansas	820,862	820,862	328,345
Missouri	1,198,603	1,198,603	1,198,603
Nebraska		558,310	558,310
New Jersey	1,061,966		
Oklahoma	858,018	858,018	
Oregon	1,328,117	332,029	
Washington	763,376	-	
West Virginia	698,173	174,543	436,358
Wisconsin	1,808,110	452,028	1,130,069
TOTAL	19,954,424	10,989,299	10,483,500

SECTION 410 ALCOHOL INCENTIVE GRANTS

	FY 1992	FY 1993	FY 1994 Request
	(Dollars in Thousands)		
Section 410 Alcohol-Impaired Driving Countermeasures Grants:			
Base Program:			
Grants	$7,204*	$22,883**	--
Technical Assistance	949*	150**	--
Obligations	8,153*	23,033**	
Investment Program:			
Grants	--	--	$24,500
Technical Assistance	--	--	500
Obligation Limitation	--	--	25,000
Total, Oblig. Level/Limit.	8,153	23,033	25,000

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* Obligations funded from Federal-Aid Highways account in FHWA.

** Obligations funded from carryover of "old 410" appropriations and carryover of "new 410" Federal-Aid Highways account in FHWA.

Program Objective

The Section 410 program was authorized by Congress to stimulate further innovation and effectiveness in the strategies and programs that more effective States and local jurisdiction implement to prevent impaired driving. Section 410 was enacted by Congress for the purpose of complementing the Section 408 alcohol incentive grant program. By the end of FY 1993, the majority of States will have qualified for Section 408, most of these will have used up their five years of eligibility for Section 408 grants. By the end of FY 1994, funding for Section 408 will be almost depleted, and the major impact of Section 408 will have been experienced. At that point, Section 410 will be the major incentive program to reward States for introducing the most effective methods to stop impaired drivers.

FY 1993 Program

Although Section 410 incentives were enacted in 1988, New Mexico became the first State to qualify (in FY 1991), followed by Indiana in early FY 1992. Section 410 was subsequently restructured by Congress in ISTEA/1991, in order to expand the eligibility criteria and increase incentive funds, and as a consequence, enlarge State participation. Later amendments to the DOT FY 1993 Appropriations

Act further altered eligibility requirements and funding procedures, for the purpose of broadening Section 410's advantages to State safety programs.

To receive grants under the present Section 410 Program, States must satisfy certain criteria, including prompt license suspension for DWI offenders, sobriety checkpoints operated by police, financially self-sustaining community alcohol programs, mandatory jail or community service sentencing, and control of access to alcohol by youth. NHTSA issued an Interim Rule in time for States to qualify and receive funds in FY 1992, under the amended program. In August 1992, New York became the first State to qualify in the "new" Section 410 program. A total of 19 States qualified in FY 1992 under the revised regulations, including New Mexico and Indiana which qualified under "old 410" criteria. NHTSA believes that six or seven new States may qualify during FY 1993.

States are using their FY 1993 incentive grants for the purpose of supporting a varied range of programs aimed at detecting and reducing impairment among drivers: Significant program activities include:

- Police sobriety and safety checkpoints;

- Alcohol awareness targeting persons under age 21;

- Drug impairment recognition training for police;

- Videotaping equipment in police vehicles and videotape training for officers; and

- Screening and assessment of drunk driving offenders.

FY 1994 Budget Request Justification

The amount of $25 million authorized for Section 410 in ISTEA/1991 is being requested. This program is included in the Administration's investment proposals. The level of funding proposed for Section 410 in FY 1994 will allow NHTSA to respond to the States' high level of interest, as well as growing State success in meeting the new Section 410 rules authorized in ISTEA/1991. For example, many States are pursuing new, improved laws to reduce drinking and driving, such as administrative license revocation and the lower legal limits imposed by new .08 BAC laws. State efforts to qualify for Section 410 incentives are likely to increase, and up to 30 States may become eligible before the end of FY 1994.

A provision in the FY 1993 Appropriations Act for DOT increased the incentive amounts available to States for both basic and supplemental grants. Consequently, even if the same number of States qualified in FY 1994 as FY 1992, a larger funding level would be needed to satisfy statutory requirements: over $23 million would be needed for FY 1994 compared to $8.2 million in FY 1992. Compounding the effects of that provision is the expected growth in eligible States.

SECTION 153 SAFETY BELT AND MOTORCYCLE HELMET INCENTIVE GRANT PROGRAM

	FY 1992	FY 1993	FY 1994 Request
	(Dollars in Thousands)		
Section 153 Belt/Helmet Incentive Grant Prigram			
Baseline Program	$16,928*	$12,000	$12,324
Investment Program	--	--	2,676
Total, Oblig. Level/Limit	16,928*	12,000	15,000

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* Obligations funded from Federal-Aid Highways account in FHWA.

Program Objective

The objective of the Section 153 Incentive Grant program is to promote State passage of safety belt and motorcycle helmet use laws, and to encourage State achievement of the levels of use specified in the statute. It is among the agency's top goals, and represents one of the most effective behavior changes for reducing the incidence of death and injury in crashes. Higher use also helps reverse escalating health costs experienced by society and government.

Section 153 of ISTEA/1991 employs the concept of rewarding State action for enacting improved traffic safety laws and conducting effective programs. Rewarding better State programs, and the additional funding support and program inducements provided by the new grant program, will produce a significant improvement in overall highway safety during the 1990's.

Section 153 grants are available to qualifying States for the purpose of supporting adoption and implementation of specific types of safety programs: (1) education of the public about motorcycle and passenger safety, including use of motorcycle helmets, safety belts and child safety seats; (2) training law enforcement officers to enforce laws requiring helmet and belt use; (3) conducting activities to enforce use laws; and (4) monitoring rates of public compliance with use laws. Activities supported by Section 153 grants are intended to supplement and support ongoing State programs, including Section 402 grant programs.

States may receive Section 153 grants in three separate years. First-year grants are available to States that have laws in effect to require the use of safety belts and motorcycle helmets.

Second-year grant eligibility requires States with use laws to achieve 75 percent use for motorcycle helmets and 50 percent use for safety belts. Third-year grant eligibility requires helmet use of 85 percent and belt use of 70 percent. Section 153 grants for the three years may not exceed 90 percent of each State's respective Section 402 grant received in FY 1990.

FY 1993 Program

Seventeen States, the Commonwealth of Puerto Rico, and the District of Columbia received first-year grants for FY 1992. Two eligible States, Florida and Missouri, informed NHTSA that they would not apply for the Section 153 grant, in order to avoid reducing FY 1993 Federal-aid highway funding under the "minimum allocation" provisions of ISTEA/1991.

Section 153 includes a sanction for States that fail to have helmet and belt use laws in effect as of October 1, 1993. These States become subject to transfers of obligation authority from specified Federal-aid highway programs to the Section 402 program. States in noncompliance in FY 1994 are subject to a transfer of 1½ percent of specified Federal-aid funds for FY 1995. If noncompliance continues in FY 1995 and subsequent years, the transfers increase to 3 percent. As of March 1993, 28 States were in noncompliance.

NHTSA is already witnessing the positive impact of Section 153 on safety. Influenced by Section 153 incentives and sanctions, Maryland and Nebraska passed mandatory use laws in 1992 in order to qualify for FY 1993 grants. As of March 1993, eighteen States had introduced qualifying bills during the current legislative sessions. Given the difficulty of enacting legislation, as well as the ineligibility of several States for second-year grants, NHTSA expects the FY 1993 program to remain at about 19-20 States.

FY 1994 Budget Request Justification

NHTSA anticipates that at least 21 States will qualify and apply for incentive funds in FY 1994, including 14 States expected to qualify for second and third year-grants. The remaining 7 States are expected to qualify for first-year grants, and this estimate is based on recent legislative trends in the States and impending Section 153 sanctions.

This program has been selected to receive an increase of $3 million in funding in FY 1994, for a total of $15 million, as part of the Administration's investment proposals. An increase in funding is being requested for States which meet the third (and final) year of incentives. As previously mentioned, States may receive up to 90 percent of their FY 1990 Section 402 apportionment over the three years of Section 153 grants. Rather than receiving the 30 percent increments in FY 1992 and FY 1993, States are receiving approximately 21 percent due to funding limitations. Recognizing that FY 1994 represents the final year of grants for States that qualified in FY 1992, the agency proposes increasing the incentive payment in order to encourage more States to enhance their efforts to achieve the safety belt level of 70 percent use required by Statute.

NATIONAL DRIVER REGISTER

	FY 1992	FY 1993	FY 1994 Request
		(Dollars in Thousands)	
National Driver Register			
Salaries and Expenses		$890**	$890**
Contracts		2,760	2,610
Obligation Limitation	*--	3,650	3,500

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* Contract funding of $4.288 million in FY 1992 was included under Highway Safety Programs in the Operations and Research account.

** Amount transferred to the Operations and Research account.

Program Objective

The National Driver Register's objective is to improve traffic safety by assisting state motor vehicle administrators in communicating with other States to identify problem drivers. This helps prevent problem drivers from obtaining multiple licenses and improves the quality of state driver record systems.

Program Description

The National Driver Register (NDR) is a central repository of information on individuals whose licenses to operate a motor vehicle have been revoked, suspended, cancelled, or denied. The NDR also contains information on persons who have been convicted of serious traffic-related violations such as driving while impaired by alcohol or other drugs. State driver licensing officials query the NDR when individuals apply for a license, for the purpose of determining whether driving privileges have been withdrawn by other States. Given that the NDR is a nationwide resource point for driver records from all States, a State need submit only a single inquiry to obtain this information. The information obtained from the NDR assists State driver licensing officials in determining whether or not to issue licenses, and at the same time it improves the State's overall driver record system.

FY 1993 Program

In addition to continuing regular NDR operations, the NDR is moving rapidly to implement the Problem Driver Pointer System (PDPS), as specified in the Final Rule of August 20, 1991. The PDPS system changes have been made at the NDR central computer. States are using their grant funds from FY 1991 and FY 1992 to modify their systems and train state support personnel. Florida is expected to become the first state to implement PDPS (scheduled for the third quarter in 1993), with an additional 15 to 20 states also scheduled for conversion by the end of 1993.

In FY 1993, NHTSA will use funds to operate the "Help Desk" activity, which consists of a small group of system analysts who provide technical and training assistance to requesting States during their conversion to PDPS.

FY 1994 Budget Request Justification

Funds for FY 1994 will be used to continue the regular operations of the NDR while making further transitions to the PDPS. Regular operations consist of computer processing of States' driver licensing inquiries and updates, plus related technical and administrative support, such as programming assistance and staff support. The computer processing workload will remain fairly constant in terms of inquiries (about 29 million annually), although the mix of batch and interactive processing of inquiries will change, when interactive processing peaks at 9-10 million inquiries per year. File updates also will increase, as States convert to PDPS and begin to implement the new NHTSA requirement to submit conviction records.

Regular operations also involve processing inquiries from the Federal Aviation Administration, Federal Railroad Administration, and U.S. Coast Guard. The NDR records enable these agencies to discover driving violations, especially alcohol-related, by their applicants for certification.

PDPS conversion activity in FY 1994 will continue to provide technical and training assistance to States during their PDPS conversion efforts, including the use of the Help Desk.

Accomplishments

- Forty-eight States have established electronic access to the NDR file, which is a major step towards PDPS conversion for states that issue licenses over the counter (as opposed to those States which require a waiting period). Over 425,000 file checks on pilots and railroad locomotive engineers will be processed by the NDR during FY 1993.
- Approximately 20 States are scheduled to join the PDPS by the end of FY 1993.
- During FY 1992 the NDR processed over 27,985,000 file checks for all users, and this produced in excess of one million probable identifications.

STATUS OF SECTION 209 HIGHWAY SAFETY EDUCATION AND INFORMATION

	FY 1992 Appropriation	FY 1993 Appropriation	FY 1994 Request
	(Dollars in Thousands)		
Obligation Limitation (cumulative)	$4,750	$4,750	$4,750

This education and information program was authorized under Section 209 of the Surface Transportation Assistance Act of 1978. The Act directed the Secretary of Transportation to carry out six pilot projects designed, through the use of television and radio, to develop and evaluate techniques, methods and practices to achieve maximum measurable effectiveness in reducing traffic accidents, injuries and deaths. Funding of $6 million was authorized for Section 209 purposes. Additional funding of $10 million was authorized to carry out a nationwide program to demonstrate the results of the pilot projects. All funds are contract authority.

Obligations for the pilot phase of the program were limited initially to $5 million under the 1984 DOT Appropriations Act. The appropriated level was reduced to $4.75 million pursuant to rescission provisions in the Deficit Reduction Act of 1985.

Section 209 funds were allocated for the award of the following contracts:

- Drunk Driving Project	$1,043
- Highway Safety Mass Media Youth Project	1,044
- Safety Belt/Child Safety Seat Use Demonstration Project	947
- Public Education and Information Demonstration Project for Emergency Medical Services	929
- Public Education Demonstration Project by Law Enforcement	787
TOTAL	$4,750

The Budget reflects the current cumulative obligation limitation of $4.75 million for FY 1982 through FY 1994. This will allow no new obligations during FY 1994.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Program and Financing (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Program by activities: Direct Program:			
00.01	Rulemaking programs..........	9,991	11,060	12,134
00.02	Enforcement programs..........	15,276	16,430	17,913
00.03	Highway safety programs.......	7,279	5,124	--
00.04	Research and analysis.........	40,593	54,104	40,569
00.05	Office of the Administrator...	2,710	3,514	2,589
00.06	General administration........	6,320	8,099	6,488
00.91	Total direct program..........	82,169	98,331	79,693
01.01	Reimbursable program..........	50,556	52,213	56,489
10.00	Total obligations	132,725	150,544	136,182
17.00	Recovery of prior year obligations..............	-1,438	--	--
21.40	Unobligated balance, available start of year............	-18,459	-16,251	--
24.40	Unobligated balance, available end of year..............	16,251	--	--
25.00	Unobligated balance expiring	5	--	--
39.00	Budget authority (gross)	129,084	134,293	136,182
	Budget authority: Current:			
40.00	Appropriation...............	78,528	82,080	79,693

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Program and Financing (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Permanent:			
68.00	Spending authority from offsetting collections (new)	50,556	52,213	56,489
	Relation of obligations to outlays:			
71.00	Total obligations...........	132,725	150,544	136,182
72.40	Obligated balance, start of year......................	32,252	31,268	45,428
74.40	Obligated balance, end of year......................	-31,268	-45,428	-41,531
77.00	Adjustments in expired accounts..................	-236	--	--
78.00	Adjustments in unexpired accounts..................	-1,438	--	--
87.00	Outlays (gross)	132,035	136,384	140,079
	Adjustments to budget authority and outlays:			
	Deductions for offsetting Collections:			
88.00	Federal Funds..............	-900	--	--
88.30	Trust Funds................	-49,325	-52,213	-56,489
88.40	Non-Federal Sources........	-331	--	--
88.90	Total, Offsetting collections	-50,556	-52,213	-56,489
89.00	Budget authority (net).......	78,528	82,080	79,693
90.00	Outlays (net)................	81,479	84,171	83,590

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Object Classification (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Direct obligations			
	Personnel compensation:			
11.1	Full-time permanent........	22,277	22,458	22,462
11.3	Other than full-time permanent................	1,296	1,207	1,208
11.5	Other personnel comp.......	509	483	483
	Total personnel compensation..............	24,082	24,148	24,153
12.1	Civilian personnel benefits	3,672	3,381	3,609
21.0	Travel and transportation of persons................	379	302	331
22.0	Transportation of things....	33	83	83
23.3	Communications, utilities, and miscellaneous charges	1,471	1,333	1,328
24.0	Printing and reproduction...	1,361	676	673
25.2	Other services.............	46,884	68,198	49,308
26.0	Supplies and materials......	1,944	90	89
31.0	Equipment..................	2,343	120	119
99.0	Subtotal, direct obligations	82,169	98,331	79,693
99.0	Reimbursable obligations....	50,556*	52,213*	56,489*
99.9	Total obligations...........	132,725	150,544	136,182

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*Reimbursables are displayed on separate pages in more detail.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

(TRUST FUND REIMBURSABLE)

Object Classification (in thousands of dollars)

		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Direct obligations			
	Personnel compensation:			
11.1	Full-time permanent.....	10,444	10,464	10,480
11.3	Other than full-time permanent............	644	563	563
11.5	Other personnel comp.....	245	225	225
	Total personnel compensation..	11,333	11,252	11,268
12.1	Civilian personnel benefits...	1,914	1,575	1,684
21.0	Travel and transportation of persons.....................	285	432	418
22.0	Transportation of things......	18	47	47
23.3	Communications, utilities, and miscellaneous charges........	669	750	747
24.0	Printing and reproducing......	561	380	379
25.1	Consulting Services...........	29	0	0
25.2	Other services................	28,788	31,617	35,671
26.0	Supplies and materials........	822	50	50
31.0	Equipment.....................	984	67	67
99.0	Total obligations.............	45,403	46,170	50,331

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

(GRANT ADMINISTRATION - REIMBURSABLE)

Object Classification (in thousands of dollars)

		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Personnel compensation:			
11.1	Full-time permanent.........	3,434	4,827	4,814
12.1	Civilian personnel benefits...	973	676	719
21.0	Travel and transportation of persons.....................	312	210	250
25.2	Other services................	434	330	375
99.9	Total obligations............	5,153	6,043	6,158

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

Personnel Summary

Identification Code 69-0650-0-1-401	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
Total Compensable Workyears:			
Full-Time equivalent employment...	478	424	416
Full-Time equivalent of overtime and Holiday hours...............	3	3	3
Full-Time equivalent employment...	249*	267*	267*

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*Reimbursable from O&R Trust and HTSG grant administration.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH
(HIGHWAY TRUST FUND)

Program and Financing (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Program by activities: Direct Program:			
00.01	Highway safety programs......	30,877	35,043	35,894
00.02	Research and analysis........	10,749	8,322	11,434
00.03	Office of the Administrator..	876	939	952
00.04	General administration.......	1,670	1,866	2,051
10.00	Total Obligations............	44,172	46,170	50,331
	Budget authority: Current:			
40.00	Appropriation.............	44,172	46,170	50,331
	Relation of obligations to outlays:			
71.00	Total obligations............	44,172	46,170	50,331
72.40	Obligated balance, start of year....................	40,036	56,344	50,522
74.40	Obligated balance, end of year....................	-56,344	-50,522	-45,197
90.00	Outlays (net)................	27,864	51,992	55,656

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY)
(HIGHWAY TRUST FUND)

Program and financing (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Program by activities: Safety formula grants:			
00.01	Section 402 formula grants....	118,000	115,000	118,676
00.02	Section 408 incentive grants..	19,954	11,000	10,500
00.03	Section 410 incentive grants..	--	--	--
00.04	Section 153 incentive grants..	--	12,000	12,234
00.05	National Driver Register......	--	3,650	3,500
00.06	Section 402 (allocation)......	50	--	--
10.00	Total Obligation..............	138,004	141,650	145,000
21.49	Unobligated balance available, start of year: Contract auth	-180,438	-168,434	-197,784
24.49	Unobligated balance available, end of year: Contract auth..	168,434	197,784	248,784
39.00	Budget Authority (gross)......	126,000	171,000	196,000
	Budget authority: Current:			
40.00	Appropriation.................	130,000	150,000	137,000
40.49	Portion applied to liquidate contract authority..........	-130,000	-150,000	-137,000
43.00	Appropriation (total)	--	--	--
69.10	Contract authority (101 Stat. 218)............	126,000	171,000	196,000

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY)
(HIGHWAY TRUST FUND)

Identification Code 69-8020-0-7-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Relation of obligations to outlays:			
71.00	Total obligations	138,004	141,650	145,000
72.40	Appropriation	17,220	16,979	33,226
72.49	Contract authority	91,591	99,595	91,245
74.40	Appropriation	-16,979	-33,226	-34,164
74.49	Contract authority	-99,595	-91,245	-99,720
90.00	Outlays	130,241	133,753	135,587
Distribution of budget authority:				
	Section 402 formula grants	126,000	143,000	143,000
	Section 410 incentive grants	--	--	25,000
	Section 153 incentive grants	--	24,000	24,000
	National Driver Register	--	4,000	4,000
Distribution of budget outlays:				
	Section 402 formula grants	117,870	115,188	116,336**
	Section 408 incentive grants	12,371	15,268	12,346
	Section 410 incentive grants	--	--	3,750**
	Section 153 incentive grants	--	1,800	6,330**
	National Driver Register	--	1,497	2,749
	Safety Education and Information	*	--	--

* Less than $0.5 thousand

** Includes the following outlays which result from the Administration's investment proposals (and included in account 69-8020-7-7-401): $1,773 thousand for Section 402, $3,750 thousand for Section 410, and $401 thousand for Section 153.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY)
(HIGHWAY TRUST FUND)

Status of Contract Authority (in thousands of dollars)

Identification Code 69-8020-0-7-401	FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
Unfunded balance, start of year....	268,023	264,023	285,023
Contract authority (P.L.102-240; P.L. 102-388).......	126,000	171,000	196,000
Appropriation to liquidate contract authority......................	-130,000	-150,000	-144,000*
Unfunded balance, end of year......	264,023	285,023	337,023

* Includes $7 million which is part of the Administration's investment proposals (and included with account 69-8020-7-7-401)

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS
(HIGHWAY TRUST FUND)

(INVESTMENT PROPOSALS)

Program and Financing (in thousands of dollars)

Identification Code 69-8020-7-7-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Program by activities: Direct Program:			
00.01	Section 402 formula grants...			4,324
00.02	Section 410 incentive grants.			25,000
00.03	Section 153 incentive grants.			2,676
10.00	Total Obligations............			32,000
24.49	Unobligated balance available end of year......			-32,000
40.00	Appropriation................			7,000
40.49	Portion applied to liquidate contract authority.......			-7,000
71.00	Total Obligations............			32,000
74.40	Obligated balance, end of year....................			-1,026
74.49	Contract Authority...........			-25,050
90.00	Outlays (net)................			5,924

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

MISCELLANEOUS SAFETY PROGRAMS

Program and Financing (in thousands of dollars)

Identification Code 69-0650-0-1-401		FY 1992 Actual	FY 1993 Estimate	FY 1994 Estimate
	Program by activities:			
10.00	Total obligations (object class 41.0)...........	23	17	--
	Financing:			
21.40	Unobligated balance available, start of year.................	-40	-17	--
24.40	Unobligated balance available, end of year...................	17	--	--
39.00	Budget Authority................	--	--	--
	Relation of obligations to outlays:			
71.00	Total obligations...............	23	17	--
72.40	Obligated balance, start of year:................	7,356	5,434	4,051
74.40	Obligated balance, end of year:..................	-5,434	-4,051	-2,651
90.00	Outlays......................	1,945	1,400	1,400

This schedule displays the following programs funded by State and community highway safety: Territorial Grant and Transportation Systems Management. These programs no longer require appropriations. Obligation and outlay amounts shown reflect spend-out of prior year appropriations.

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1994

OFFICE OF THE INSPECTOR GENERAL

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

FY 1993 BUDGET ESTIMATES
DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

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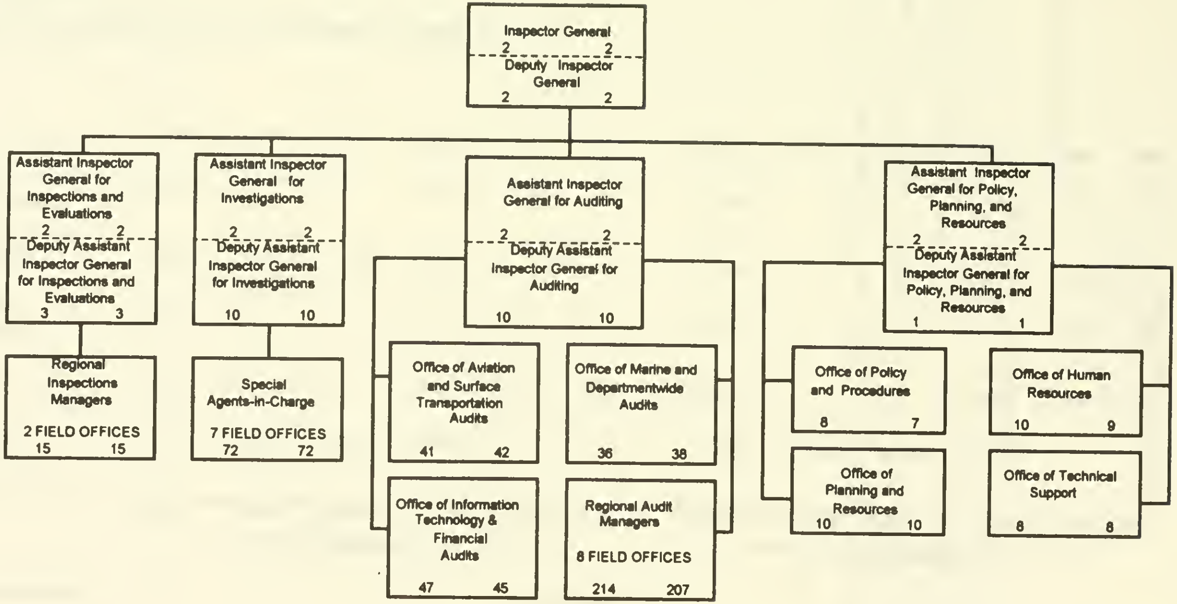
OFFICE OF INSPECTOR GENERAL


Inspector General
2 2
Deputy Inspector General
2 2
Assistant Inspector General for Inspections and Evaluations
2 2
Deputy Assistant Inspector General for Inspections and Evaluations
3 3
Regional Inspections Managers
2 FIELD OFFICES
15 15
Assistant Inspector General for Investigations
2 2
Deputy Assistant Inspector General for Investigations
10 10
Special Agents-in-Charge
7 FIELD OFFICES
72 72
Assistant Inspector General for Auditing
2 2
Deputy Assistant Inspector General for Auditing
10 10
Office of Aviation and Surface Transportation Audits
41 42
Office of Marine and Departmentwide Audits
36 38
Office of Information Technology & Financial Audits
47 45
Regional Audit Managers
8 FIELD OFFICES
214 207
Assistant Inspector General for Policy, Planning, and Resources
2 2
Deputy Assistant Inspector General for Policy, Planning, and Resources
1 1
Office of Policy and Procedures
8 7
Office of Human Resources
10 9
Office of Planning and Resources
10 10
Office of Technical Support
8 8

Numbers to the left represent FY 1993 positions, numbers to the right represent FY 1994 positions

DISTRIBUTION OF FY 1993 OIG ESTIMATE AND FY 1994 BUDGET REQUEST BY OFFICE

SALARIES AND EXPENSES

($ in thousands)

	FY 1993 Estimate						FY 1994 Request					
OFFICE	PC&B 1/	TVL 2/	OTHER	Total	POS	FTE 3/	PC&B 1/	TVL 2/	OTHER	Total	POS	FTE 3/
Office of Inspector General	$346	$1,943	$7,073	$9,364	4	4	$353	$1,943	$9,007	$11,303	4	4
AIG for Auditing	$20,071			$20,071	350	351	$20,479			$20,479	344	344
AIG for Inspections and Evaluations	$1,113			$1,113	20	19	$1,136			$1,136	20	20
AIG for Investigations	$4,911		$346	$5,257	84	84	$5,109		$400	$5,509	84	84
AIG for Policy, Planning and Resources	$2,195			$2,195	39	39	$2,279			$2,279	37	37
Total	$28,636	$1,943	$7,419	$38,000	497	497	$29,356	$1,943	$9,407	$40,706	489	489

1/Does not include PCS travel benefits, summer end co-op hiring programs, and investigative AUO.

2/ Does not include PCS travel.

3/ Includes non-ceiling FTEs.

OFFICE OF INSPECTOR GENERAL

Federal Funds

General and Special funds:

SALARIES AND EXPENSES

For necessary expenses of the Office of Inspector General to carry out the provisions of the Inspector General Act of 1978, as amended, $40,706,000. (Department of Transportation and Related Agencies Appropriations Act, 1994.)

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL
Salaries and Expenses

Program and Financing (in thousands of dollars)

Identification code 69–0130–0–1–407		1992 actual	1993 est.	1994 est.
	Program by activities:			
00.01	Direct program	36,732	38,000	40,706
01.01	Reimbursable program	82	225	225
10.00	Total obligations	36,814	38,225	40,931
	Financing:			
25.00	Unobligated balance expiring	273	------	------
39.00	Budget authority (gross)	37,087	38,225	40,931
	Budget authority:			
	Current:			
40.00	Appropriation	37,005	38,000	40,706
	Permanent:			
68.00	Spending authority from offsetting collections (new)	82	225	225
	Relation of obligations to outlays:			
71.00	Total obligations	36,814	38,225	40,931
72.40	Obligated balance, start of year	3,810	5,399	2,660
74.40	Obligated balance, end of year	-5,399	-2,660	-2,849
77.00	Adjustments in expired accounts	72	------	------
87.00	Outlays (gross)	35,296	40,964	40,742
	Adjustments to budget authority and outlays:			
88.00	Deductions for offsetting collections Federal funds	-82	-225	-225
89.00	Budget authority (net)	37,005	38,000	40,706
90.00	Outlays (net)	35,214	40,739	40,517

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Salaries and Expenses
Program and Performances

This appropriation finances the cost of conducting and supervising audits, inspections and evaluations, and investigations relating to the programs and operations of the Department to promote economy, efficiency, and effectiveness and to prevent and detect fraud and abuse in such programs and operations. The 1994 budget includes funding to implement the Chief Financial Officers Act (P.L. 101-576), which requires audited financial statements of trust funds, revolving funds, and commercial type activities.

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DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL

OBJECT CLASSIFCATION
SALARIES AND EXPENSES
($ in Thousands)

69-0130-0-1-407		FY 1992 ACTUAL	FY 1993 ESTIMATE	FY 1994 REQUEST
	Personnel Compensation:			
11.1	Full-time Permanent	$21,606	$23,104	$23,568
11.3	Other Than Full-Time Permanent	$358	$382	$402
11.5	Other Personnel Compensation	$871	$900	$920
11.9	Total Personnel Compensation	$22,835	$24,386	$24,890
12.1	Civilian Personnel Benefits	$4,665	$4,804	$5,075
13.0	Benefits for Former Personnel	$18	$15	$10
21.0	Travel and Transportation of Persons	$1,994	$1,950	$1,985
22.0	Transportation of Things	$41	$50	$30
23.2	Rental Payments to Others	$86	$93	$93
23.3	Rent, Communications, Utilities and Miscellaneous Charges	$537	$722	$756
24.0	Printing and Reproduction	$183	$145	$139
25.0	Other Services	$5,042	$5,354	$7,402
26.0	Supplies and Materials	$453	$222	$166
31.0	Equipment	$876	$256	$157
42.0	Insurance Claims & Indemnities	$2	$3	$3
99.0	Subtotal, Direct Obligations	$36,732	$38,000	$40,706
99.0	Reimbursable Obligations	$82	$225	$225
99.9	TOTAL OBLIGATIONS	$36,814	$38,225	$40,931

EXHIBIT IA

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
RESOURCE SUMMARY - FINANCING
($ in Thousands)

	BUDGET AUTHORITY		
APPROPRIATION TITLE	FY 1992 ACTUAL	FY 1993 ENACTED	FY 1994 REQUEST
Salaries and Expenses	$37,005	$38,000	$40,706
TOTAL, BUDGET AUTHORITY	$37,005	$38,000	$40,706

EXHIBIT IB

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
RESOURCE SUMMARY - FINANCING
($ in Thousands)

	PROGRAM LEVEL		
APPROPRIATION TITLE	FY 1992 ESTIMATE	FY 1993 ENACTED	FY 1994 REQUEST
Salaries and Expenses	$36,732	$38,000	$40,706
TOTAL, PROGRAM LEVEL	$36,732	$38,000	$40,706

EXHIBIT IC

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
RESOURCE SUMMARY - FINANCING
($ in Thousands)

	OUTLAYS		
APPROPRIATION TITLE	FY 1992 ACTUAL	FY 1993 ENACTED	FY 1994 REQUEST
Salaries and Expenses	$35,214	$40,739	$40,517
TOTAL, OUTLAYS	$35,214	$40,739	$40,517

EXHIBIT IIA

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
RESOURCE SUMMARY - STAFFING

	AUTHORIZED POSITIONS (FULL-TIME PERMANENT)		
DIRECT FUNDED, BY APPROPRIATION	FY 1992 ACTUAL	FY 1993 ENACTED	FY 1994 REQUEST
Salaries and Expenses	507	497	489
Subtotal, Direct Funded	507	497	489
TOTALS, POSITIONS	507	497	489

EXHIBIT IIB

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
RESOURCE SUMMARY - STAFFING

FTE-TOTAL, SUBJECT TO CEILING

	FTE-TOTAL		
DIRECT FUNDED, BY APPROPRIATION	FY 1992 ACTUAL	FY 1993 ESTIMATE	FY 1994 REQUEST
Salaries and Expenses	477	491	483
Subtotal, Direct Funded	477	491	483
TOTALS, FTE-TOTAL, SUBJECT TO CEILING	477	491	483
Ceiling: FTE - FTP	474	488	480
Ceiling: FTE - OTFTP	3	3	3
NONCEILING FTE TOTALS	9	6	6
Non-Ceiling: FTE - FTP			
Non-Ceiling: FTE - OTFTP	9	6	6
FTE GRAND TOTALS	486	497	489
FTE - FTP	474	488	480
FTE - OTFTP	12	9	9

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
SUMMARY STATEMENT
Salaries and Expenses

DESCRIPTION

The Inspector General Act of 1978, as amended, provides for the establishment of an organization to be independent and objective in conducting and supervising audits and investigations designed to: (1) promote economy, efficiency, and effectiveness and prevent fraud, waste, and abuse in Departmental programs and operations; and (2) provide a means of keeping the Secretary of Transportation and Congress fully and currently informed of problems and deficiencies in the administration of such programs and operations.

OBJECTIVES

The Inspector General Act requires the Office of Inspector General (OIG) to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of the Department. To accomplish its mission, the OIG must establish and maintain relationships between the Department of Transportation (DOT) and other Federal agencies and state and local governments with respect to their audit and investigative responsibilities.

The Inspector General (IG) directs the mission and functions of the OIG including: ascertaining the need for, formulating, and recommending Departmental policy, plans, and programs for audits, inspections and evaluations and investigations; managing audits, inspections and evaluations, investigations and administrative functions relating to programs and operations of the Department; providing leadership and coordination as well as recommending policies for activities designed to promote economy, efficiency, and effectiveness and to prevent and detect fraud and abuse in the administration of Departmenta programs and operations; and providing means for keeping the Secretary and Congress fully and currently informed about problems and deficiencies relating to the administration of Departmental programs and operations, and the progress o corrective actions. In carrying out these responsibilities, the IG and/or the Deputy IG exercise executive direction over the functions of Auditing Inspections and Evaluations; Investigations; and Policy, Planning, and Resources

The Assistant Inspector General for Auditing (AIGA) ensures compliance with the standards established by the Comptroller General of the United States, th President's Council on Integrity and Efficiency (PCIE), and other professiona guidelines for all audits performed in or for the Department. The audi organization conducts the following types of internal audits: financial and compliance, economy and efficiency, and program results. Protective audits ar also performed to evaluate the business management practices of smaller activities which would not receive audit coverage as part of the larger scope audits of Departmental programs. Oversight is maintained over audit work performed by independent public accountants of grantees under the Single Audit Act of 1984, the Defense Contract Audit Agency (DCAA) for contracts anticipated or awarded by the Department, and audits of financial statements of Departmental entities or activities performed by public accounting firms in accordance with the Chief Financial Officers (CFO) Act of 1990. Support is also provided to investigations.

The Assistant Inspector General for Inspections and Evaluations (AIGE) provides independent and objective inspections and evaluations of the programs and operations of the DOT. These inspections and evaluations review management, operational, policy, regulatory, and/or legislative implications of transportation related issues, providing the Secretary, program managers within DOT, and the Congress with timely feedback and reports. Inspections and evaluations are designed to support overall OIG fraud, waste, and mismanagement missions. An inspection is program specific and is used for management analysis and for focused, on-site review. An inspection will determine if a program follows established policies, procedures, and guidelines and is managed properly. An evaluation looks at the effectiveness of a program. An evaluation will determine if a program achieves its goals and if these goals are contributing to the overall goals of the Department. Frequently, both inspection and evaluation activities exist in the same review. Inspections and evaluations are intended to provide more immediate and timely feedback to program managers and, in some instances, may provide suggestions for future audits or referrals for criminal investigations.

The Assistant Inspector General for Investigations (AIGI) directs and controls the performance of all investigative activities under the authority of the IG. These investigations involve: alleged violations of fraud against the Government, false claims and statements, bribery, embezzlement, kickbacks, or other fraudulent or criminal activities affecting DOT programs, contracts, and operations; alleged violations of other Federal statutes and laws pertaining to DOT grants and contracts; allegations of bid rigging of federally funded construction projects; alleged improprieties on the part of Departmental employees and others in connection with DOT programs; noncompliance with legislative or administrative requirements relating to DOT programs; and alleged violations of DOT standards of conduct by Departmental employees. These investigations involve both proactive and reactive activities designed to maintain the Department's integrity and protect its resources from fraud, waste and/or program abuse.

The Assistant Inspector General for Policy, Planning, and Resources (AIGP) develops overall OIG policy for the performance of audit, inspection and evaluation, investigative, and administrative activities. This organization is responsible for: reviewing and commenting on legislative and regulatory proposals of the Department as required by the IG Act; performing quality assurance reviews of audit, inspection and evaluation, and investigative practices to ensure compliance with OIG policies and procedures, and professional standards; maintaining an audit followup and tracking system; preparing the OIG Semiannual Report to Congress; developing and maintaining a long-range strategic plan to ensure OIG audits, inspections and evaluations, and investigations address the most current transportation issues and are responsive to Departmental needs; providing program and budget formulation and execution, and financial and administrative support services for the OIG; providing personnel management, recruitment, classification, and staff development services; and managing the OIG's Audit and Investigation Computer Integration System (AICIS) information resources, and Management Information System (MIS) data base.

ACCOMPLISHMENTS

During Fiscal Year (FY) 1992, the OIG issued 1,956 audit reports and made recommendations to improve the economy, efficiency, and effectiveness of DOT programs and operations with a potential impact of $1.269 billion and questioned the eligibility of $111 million of costs. Resolution of audit reports resulted in management's commitment to seek recoveries and more effectively use resources amounting to $527 million.

For the same period, investigations resulted in 90 convictions; 110 indictments; and $3 million in fines, court-ordered restitution, administrative actions, and cost avoidance.

REQUEST HIGHLIGHTS

The FY 1994 request is for $40.706 million which is a net increase of $2.703 million over the $38.000 million enacted for FY 1993. An explanation of the major items that account for the increase follows:

-- $834,000 is for Personnel Compensation and Benefits (PC&B). Of this amount $780,000 is nondiscretionary for: (1) merit pay and promotions, $96,000; (2) annualization of the FY 1993 pay raise, $210,000; (3) benefits, $412,000; and (4) other compensation, including workman's compensation, $62,000. In the past, funding for benefits has been 19 percent of personnel compensation; however, the actual personnel compensation to benefit rate is 21 percent. An increase of $86,000 in other compensation is needed to reimburse the Department of Labor for workman's compensation expenditures. However, this increase has been partially offset by reductions in the summer employment ($10,000) and the co-op recruitment ($14,000) programs.

The remaining $54,000 in PC&B increases is for administratively uncontrollable overtime (AUO), needed by the Office of the AIGI. AUO is paid to investigators in positions that require substantial amounts of overtime duty which cannot be controlled administratively, and under circumstances that require the employee to recognize the necessity to remain on duty or to return to duty after normal work hours. Also, an increased number of investigators are participating on joint task forces and undercover operations, thus requiring additional funds for AUO.

-- $41,000 is needed to annualize the FY 1993 lease-to-purchase costs of the OIG's mid-range computer system upgrade. However, this is partially offset by a $7,000 reduction in Working Capital Fund (WCF) local phone ($2,000) and Federal Telecommunications System (FTS) costs ($5,000).

-- $2.6 million is needed to accomplish the audit goals of the Chief Financial Officer's (CFO) Act. The FY 1993 budget limited the resources expended on CFO Act audit activity to $1.0 million and none of these resources were to hire outside contractors.

-- The increases in personnel compensation, AUO, rent and communications, and CFO Act audit requirements have been partially offset by decreases in permanent change of station, transportation of things, supplies and materials, and furniture and equipment.

The OIG request includes $2,629,000 for advisory and assistance services as defined by Office of Management and Budget (OMB) Circular A-120 pursuant to the Budget and Accounting Act of 1921, as amended, 31 U.S.C. 1114(a). This represents $2,600,000 for contracting for audit services under the CFO Act and $29,000 for technical engineering analysis for audits, inspections and evaluations, and investigations performed by the OIG, handwriting and laboratory analyses required for investigations, and Equal Employment Opportunity (EEO) investigations, as needed.

The staffing levels requested for FY 1994 are 489 full-time permanent positions and 489 ceiling and nonceiling FTEs, representing decreases to the FY 1993 levels of 8 positions and 8 FTEs. (This reflects a 5 position and 5 FTE decrease from he enacted level as required by Executive Order dated February 10, 1993).

More detail on these requested funding increases is contained in the following ustifications.

SUMMARY OF REQUIREMENTS

	FY 1994 REQUEST	
FY 1993 ENACTED		**$38,000**
PERSONNEL COMPENSATION & BENEFITS		**+834**
Merit Pay and Awards	+96	
Annualized January 1993 Pay Raise	+210	
Administratively Uncontrollable Overtime	+54	
Increases in Benefits	+412	
Unemployment & Workman's Compensation	+62	
PERMANENT CHANGE OF STATION		**-40**
TRANSPORTATION OF THINGS		**-20**
RENT & COMMUNICATIONS		**+34**
Equipment Rental	+41	
Telephone and Communications	-7	
OTHER SERVICES		**+2,053**
Human Resources	-11	
Training	-25	
Field Investigations	-23	
Working Capital Funds	-23	
Maintenance	+26	
Other Contract Services		
DCAA	-408	
CFO	+2,600	
Various Contracts	-1	
Other Reimbursable Agreements	-82	
SUPPLIES & MATERIALS		**-56**
AICIS & Other ADP Supplies	-31	
Office & Other Supplies	-25	
FURNITURE & EQUIPMENT		**-99**
General	-45	
AICIS Hardware	-54	
FY 1994 TOTAL		**$40,706**

BUDGET JUSTIFICATION

Office of Inspector General

	FY 1993 Estimate	FY 1994 Estimate	Difference
Permanent Positions	4	4	0
Full Time Equivalents	4	4	0
Personnel Compensation and Benefits	$348,000	$353,000	$5,000
Operating Costs	$9,016,200	$10,950,070	$1,933,870
TOTAL	$9,364,200	$11,303,070	$1,938,870

The IG Act calls for the OIG to conduct, supervise, and coordinate audits, inspections and evaluations, and investigations relating to the programs and operations of the Department. The OIG is required to coordinate relationships between DOT and other Federal agencies and state and local governments with respect to their audit, inspection and evaluation, and investigative responsibilities.

Change in Resources

The increase in personnel compensation is to annualize the FY 1993 pay raise and provide for merit pay increases and career promotions. The increase in benefit costs is necessary to fully fund the benefits associated with these personnel compensation increases.

Operating Costs Applicable to Entire OIG

	FY 1993 Estimate	FY 1994 Request	Difference
OTHER PC&B			
Unemployment and Workman's Compensation	$4,000	$90,000	$86,000
Summer Employment Program	$10,000	$0	($10,000)
Co-op Recruitment Program	$14,000	$0	($14,000)
TOTAL, OTHER PC&B	**$28,000**	**$90,000**	**$62,000**
Costs Associated with PCS Moves	**$235,000**	**$195,000**	**($40,000)**
TRAVEL & TRANSPORTATION			
Travel and Transportation of Persons	$1,943,200	$1,943,200	$0
Travel and Transportation of Things (excludes PCS)	$25,000	$5,000	($20,000)
TOTAL, TRAVEL & TRANSP.	**$1,968,200**	**$1,948,200**	**($20,000)**
RENTAL PMTS TO OTHERS	**$93,000**	**$93,000**	-
RENT & COMMUNICATIONS			
Equipment Rental			
ADP (includes lease to purchase)	$159,000	$200,000	$41,000
Other	$42,000	$42,000	-
Subtotal, Equip. Rental	$201,000	$242,000	$41,000
Local Phone (WCF)	$134,000	$132,000	($2,000)
Local Phone (Non-WCF)	$83,670	$83,670	-
Federal Telecommunications System (WCF)	$60,000	$55,000	($5,000)
Federal Telecommunications System (Non-WCF)	$123,330	$123,330	-
Long Dist. (Credit & Hotline)	$9,000	$9,000	-
Mail, Non-WCF	$47,000	$47,000	-
Mail, WCF	$64,000	$64,000	-
TOTAL, RENT & COMMUN.	**$722,000**	**$756,000**	**$34,000**

	FY 1993 Estimate	FY 1994 Request	Difference
PRINTING & REPRODUCTION			
General Services Admin.	$3,200	$3,200	–
WCF	$136,000	$136,000	–
TOTAL, PRINTING & REPROD.	**$139,200**	**$139,200**	–
OTHER SERVICES			
Recruitment and Staffing			
Brochures/Ads/Displays	$2,900	$0	($2,900)
Job Fairs (Professional)	$1,400	$500	($900)
Job Fairs (Clerical)	$200	$100	–
Subtotal, Recruitment	$4,500	$600	($3,900)
Minority Programs			
Black History Month Celeb	$600	$300	($300)
ML King, Jr. Birth Celeb	$300	$100	($200)
Black Coll. & Univ. Recr.	$900	$900	–
Hispanic Her. Wk Celeb.	$700	$300	($400)
Hispanic Coll. Recr.	$1,900	$900	($1,000)
Asian Pac. Am. Her. Celeb.	$600	$300	($300)
Subtotal, Minority Prog.	$5,000	$2,800	($2,200)
Handicapped/Disabled Vets			
Affirmative Action Prog.			
Special Placement Coord.	$500	$300	($200)
Employ the Hand. Celeb.	$400	$200	($200)
Veterans Recog. Activ.	$200	$100	($100)
Videotapes/Films	$500	$200	($300)
Reasonable Accom. Equip.	$1,000	$400	($600)
Interpreter	$400	$400	–
Subtotal, H/D Veterans	$3,000	$1,600	($1,400)
Special Emphasis Women's Program (FWP)			
Special Event Lunch Spkr	$1,400	$700	($700)
Women's Week Celebration	$1,200	$600	($600)
OIG Women's Conference	$900	$900	–
Videotapes/Newsletters	$1,500	$200	($1,300)
Subtotal, FWP	$5,000	$2,400	($2,600)
Retirement Benefits			
Brochures	$500	$0	($500)
Videos: Pre–planning	$500	$0	($500)
Plaques/Certificates	$500	$300	($200)
Seminars	$0	$0	–
Subtotal, Retirement Ben.	$1,500	$300	($1,200)

	FY 1993 Estimate	FY 1994 Request	Difference
Training			
General	$220,000	$200,000	($20,000)
EEO	$5,000	$0	($5,000)
Subtotal, Training	$225,000	$200,000	($25,000)
Field Investigations	$46,000	$23,000	($23,000)
Other Costs	$37,000	$37,000	–
Working Capital Fund (WCF)			
Occup. Safety & Health Admin.	$1,000	$1,000	–
Special Programs/Child Care	$3,000	$3,000	–
HQ Space	$64,000	$40,000	($24,000)
Central Empl. Info Center	$5,000	$5,000	–
Building Management	$102,000	$102,000	–
Health & Fitness	$8,000	$7,000	($1,000)
Library	$50,000	$50,000	–
Parking	$2,000	$2,000	–
Chauffeur/Shuttle	$3,000	$3,000	–
Security & Investigations	$45,000	$44,000	($1,000)
Building Security	$55,000	$54,000	($1,000)
DAFIS	$24,000	$25,000	$1,000
Imprest Fund	$2,000	$2,000	–
Transit Benefit Program	$0	$3,000	$3,000
Subtotal, WCF	$364,000	$341,000	($23,000)
Maintenance			
General Equipment	$17,400	$17,400	–
Investigative Equipment	$2,100	$2,100	–
Building Alterations	$35,300	$0	($35,300)
ADP – Minicomputer	$30,000	$30,000	–
ADP – Auto. Office Equip.	$50,000	$111,000	$61,000
Software			
VM Center	$10,000	$10,000	–
SAS	$17,000	$17,000	–
Dylakor	$16,000	$16,000	–
Simtrans & Master	$3,000	$3,000	–
FOCUS – PC & Mini	$14,000	$14,000	–
AICIS	$2,000	$2,000	–
Subtotal, Software	$62,000	$62,000	–
Subtotal, Maintenance	$196,800	$222,500	$25,700

	FY 1993 Estimate	FY 1994 Request	Difference
Other Contract Services			
DCAA	$3,859,000	$3,451,000	($408,000)
CFO	$0	$2,600,000	$2,600,000
HHS	$22,000	$32,070	$10,070
Engineering Consulting Svcs	$21,000	$10,000	($11,000)
Investigations Tech Svcs	$10,000	$10,000	–
Other Contractor Support			
EEO Investigations	$9,000	$9,000	–
Supervisory Training	$5,000	$5,000	$0
Subtotal, Other Contr. Svcs	$3,926,000	$6,117,070	$2,191,070
Other Reimbursable Agreements			
Office of General Counsel	$91,000	$92,000	$1,000
Admin Support (Field)	$8,000	$8,000	–
FAA Accounting Support	$229,000	$152,000	($77,000)
Personnel System (PMIS)	$16,600	$16,600	–
Payroll System (CUPS)	$108,900	$108,900	–
Drugs Testing	$12,000	$6,000	($6,000)
Health and Counseling	$46,200	$46,200	–
Other	$10,300	$10,300	–
Subtotal, Other Reimb Agr.	$522,000	$440,000	($82,000)
Miscellaneous	$14,000	$14,000	–
TOTAL, OTHER SERVICES	**$5,349,800**	**$7,402,270**	**$2,052,470**
SUPPLIES & MATERIALS			
AICIS Software			
Micro	$30,000	$29,100	($900)
Mini	$0	$0	–
ADP Supplies	$60,500	$30,000	($30,500)
Office Supplies	$102,500	$91,900	($10,600)
Subscriptions	$9,000	$5,000	($4,000)
Other Supplies	$20,000	$10,000	($10,000)
TOTAL, SUPPLIES & MATER.	**$222,000**	**$166,000**	**($56,000)**
FURNITURE & EQUIPMENT			
General	$70,000	$25,000	($45,000)
AICIS Hardware			
Micro	$186,000	$132,400	($53,600)
Mini Upgrades	$0	$0	–
TOTAL, FURN. & EQUIP.	**$256,000**	**$157,400**	**($98,600)**
INSUR. CLAIMS & INDEMN.	**$3,000**	**$3,000**	**–**
TOTAL OPERATING COSTS	**$9,016,200**	**$10,950,070**	**$1,933,870**

Explanations of Changes

Other Personnel Compensation and Benefits - The $86,000 increase in other compensation represents workmen's compensation claims paid by the Department of Labor and forwarded to the OIG for reimbursement. This increase is offset by a $24,000 reduction in the summer and co-operative education recruitment programs.

Rent and Communications - The $41,000 increase in automated data processing (ADP) equipment rental is needed to annualize the FY 1993 lease to purchase costs of the OIG's mid-range computer system. Rental of ADP equipment will allow the OIG to continue to pay for multi-year lease-to-purchase agreements that support the mid-range computer system upgrade, local area network, and the OIG Management Information System. The cost savings for this equipment is realized by the increased staff productivity. This increase is partially offset by a $7,000 reduction in WCF local phone ($2,000) and FTS costs ($5,000).

CFO Act Audits - An additional $2.6 million is needed to accomplish the audit goals of the CFO Act. The Fiscal Year 1993 budget limited the resources expended on CFO Act audit activity to $1.0 million. However, none of these funds can be used to contract out audit services. The OIG will audit accounts included as part of the Aviation Trust Fund, the Highway Trust Fund and the Maritime Administration loan guarantee program. Currently there are 113 financial systems within the Department, many of which need to be improved. Over the next 5 years, the Department plans to improve, integrate, or replace these systems at an estimated cost of over $53.7 million including material nonconformances identified in the annual report required by the Federal Managers' Financial Integrity Act. The various Administrations within the Department have identified material financial management system nonconformances which include: a lack of accounting systems integration and interface with other management systems; inaccurate and untimely preparation of internal and external reports; lack of property accounting; general ledgers that differ from the Standard General Ledger format; and the inability to track prior year recoveries. Audits of internal accounting and administrative controls in these financial management systems to meet the requirements of the CFO Act would help address these problems and may identify other material nonconformance problems needing corrective action. If the resources needed to adequately perform CFO Act mandated financial statement audits are not appropriated, these audits will not be accomplished.

Decreases have been recognized in the following categories: permanent change of station; transportation of things; supplies and materials; and furniture and equipment.

OFFICE OF THE ASSISTANT INSPECTOR GENERAL FOR AUDITING
SUMMARY STATEMENT

Description

Under the authority of the IG Act of 1978, as amended, and under the executive direction of the IG and Deputy IG, the AIGA supervises and conducts all audit activities related to DOT programs and operations. As overseer of all audit activities, the AIGA ensures compliance with the standards established by the Comptroller General of the United States, the PCIE, and other professional guidelines. In addition, the AIGA provides oversight for: audit work performed by independent public accountants under the Single Audit Act of 1984, audit work by the Defense Contract Audit Agency (DCAA) for contracts anticipated or awarded by the Department, and audits of financial statements of Departmental entities or activities. Also, support is provided to Inspections and Evaluations and Investigations as needed.

The Office of the AIGA consists of the AIGA's immediate office (JA-1), the Deputy AIGA (JA-2), three Headquarters offices (JA-10, JA-20, and JA-30), and eight regional offices.

Audit Resources

A breakdown of audit positions by office and function is provided below. Narrative descriptions follow for each functional area.

Office	Management & Supervision	Clerical Support	Technical Support	Internal Audits	Contract, Grant, and Subsidy Audits	Hotline Complaints	Total Pos
JA-1	1	1	-	-	-	-	2
JA-2	6	2	2	-	-	-	10
JA-10	4	3	-	30	4	1	42
JA-20	4	3	-	30	-	1	38
JA-30	4	3	2	33	2	1	45
JRA-II	4	3	-	23	1	-	31
JRA-III	3	2	-	15	-	-	20
JRA-IV	4	3	-	23	8	-	38
JRA-V	3	2	-	17	-	-	22
JRA-VI	4	2	-	19	-	-	25
JRA-VII	3	2	-	14	-	-	19
JRA-IX	4	2	-	24	-	-	30
JRA-X	3	2	-	17	-	-	22
Totals	47	30	4	245	15	3	344

Management and Supervision - Senior Headquarters and field audit officials (including all SES and GM-15s, as well as GM-13/14s in JA-2) who direct the performance of all audits relating to DOT programs and operations. This includes ensuring compliance with the GAO audit standards, planning and coordinating the audit effort within DOT, and monitoring audit performance.

Clerical Support - Secretaries and clerk typists who type reports and correspondence, answer telephones, file documents, and perform other administrative duties in support of the audit mission.

Technical Support - Includes two computer specialists involved in provision of automated data retrieval and analysis services for the entire OIG. Also included is one statistical advisor and an engineer advisor. The statistical advisor provides consulting advice to OIG personnel and Departmental requesters on the appropriate use of statistical and mathematical techniques in the execution of Audits, Inspections and Evaluations, Investigations, and Departmental operations. The engineer advisor acts as engineering consultant to auditors, inspectors, and investigators, providing expert advice and overseeing engineers detailed to or under contract with the OIG. ADP, statistical, and engineering advice is used extensively in the development of audit methodology and in the evaluation of technical findings.

Internal Audits - These resources are used to conduct performance and financial audits of major programs and activities of the Department. It involves the propriety of financial operations, the evaluation of economy and efficiency of operations, and reviews of program results. During FY 1992, we issued 185 internal audit reports with $1.07 billion of costs questioned and unsupported as well as funds to be put to better use.

Economy and efficiency audits include determining: (1) whether the entity is acquiring, protecting, and using its resources (such as personnel, property, and space) economically and efficiently; (2) the causes of inefficiencies or uneconomical practices; and (3) whether the entity has complied with laws and regulations concerning matters of economy and efficiency.

Program audits include determining: (1) the extent to which the desired results or benefits established by the Congress are being achieved; (2) the effectiveness of organizations, programs, activities, or functions; and (3) whether the entity has complied with laws and regulations applicable to the program.

Financial statement audits determine (1) whether the financial statements of an audited entity present fairly the financial position, results of operations, and cash flows or changes in financial position in accordance with Generally Accepted Accounting Principles, and (2) whether the entity has complied with laws and regulations for those transactions and events that may have a material effect on the financial statements.

Financial related audits include determining whether (1) financial information and related items are fairly presented in accordance with established criteria, and (2) the entity has adhered to specific financial compliance requirements.

Contract Audits - These audits are performed to advise the Department's contracting officers whether contractors' costs, either actual or estimated, are fairly presented. To this end, the auditor determines if contractors have followed applicable Federal regulations and cost accounting standards in pricing goods or services that are being procured by DOT. Although we have responsibility for all contract audit services required by DOT procurement offices, most of this contract audit work is accomplished by DCAA under a reimbursable agreement. Following our review and summarization of audit results, these audit reports are issued to the appropriate procurement office in DOT. During FY 1992, these audits recommended reductions of $228.5 million from contractor proposals and $56.1 million from contractor-claimed incurred costs.

Grant and Subsidy Audits - Under the provisions of the Single Audit Act of 1984 (P.L. 98-502), any state or local government grantee which receives $100,000 or more a year in Federal funds is required to have an audit by an independent auditor. The Act mandates that the audit cover the entire financial and compliance operations of the organization. Our resources are used to provide technical advice to grantees and their independent auditors to ensure that audits are accomplished in accordance with established performance and reporting standards. OIG oversight is carried out through desk reviews of the audit reports and quality control reviews of the audit work performed. A desk review is an evaluation of an audit report to determine if it meets the requirements of OMB Circular A-128 and the reporting standards issued by the Comptroller General of the United States. A quality control review is a review of the independent auditor's working papers supporting an individual audit to determine whether the audit work meets the requirements of OMB Circular A-128 and the standards for working paper preparation issued by the Comptroller General. DOT provides grants totaling more than $21.7 billion annually to about 2,300 recipients. OIG is the cognizant Federal agency for 764 recipients of Federal aid. Federal cognizant responsibility for the remainder of DOT's Federal-aid recipients is primarily assigned to the Department of Health and Human Services and the Department of Housing and Urban Development. During FY 1992, we issued a total of 1,247 grant/subsidy audit reports with $54 million of questioned costs, unsupported costs, and funds to be put to better use.

Resources are also used in support of the audits of the Maritime Administration's Operating Differential Subsidy Program and the subsidy audits related to claims made by air carriers for the Office of the Secretary's Essential Air Service (EAS) Program. EAS claims are for subsidized scheduled air service to eligible small communities that would not otherwise be served by air carriers as a result of airline deregulation.

Hotline Complaints - Audit resources are used to verify allegations of fraud, waste, abuse, and mismanagement relating to DOT programs that are submitted to the DOT hotline. During FY 1992, 40 of the 471 hotline complaints acted upon were responded to by the audit staff. These complaints involved: (1) waste of government funds on contracts, (2) improper use of non-appropriated funds, (3) mismanagement and personnel improprieties, and (4) misuse of government resources.

BUDGET DATA

	FY 1993 Estimate	FY 1994 Estimate	Difference
Permanent Positions	350	344	-6
Full Time Equivalents	351	344	-7
Personnel Compensation and Benefits	$20,070,800	$20,479,000	$408,200
TOTAL	$20,070,800	$20,479,000	$408,200

Change in Resources

The decrease in personnel represents the Office of Audits allocation of the OIG's position reduction directed in the February 10, 1993

Executive Order, "Reduction of 100,000 Federal Positions." The increase for personnel compensation is to annualize the FY 1993 pay raise and to provide for merit pay increases. The increase in benefit costs is necessary to fully fund the benefits associated with these personnel compensation increases.

OBJECTIVES AND ACCOMPLISHMENTS

Office of the Assistant Inspector General for Auditing

The AIGA and Deputy AIGA manage, supervise, and direct all audit activities. The staff within this office has the responsibility for oversight of the Headquarters and field office operations, statistical and engineering support, and other administrative tasks required within the audit organization.

In addition to fulfilling its coordinator and facilitator role, the offices of the AIGA and Deputy AIGA act as a quality control element for audit activity in the OIG. This function is accomplished by reviewing selected audit reports and working papers to ensure that our audits are conducted in accordance with Government Auditing Standards. As a part of our quality assurance program, members of this staff visited six regional offices during FY 1992. Technical support to audits includes statistical and engineering reviews in audit planning and performance. Statistical support to Operating Administration and Departmentwide audits has significantly enhanced the value of these assessments to DOT management. This office also responds to numerous inquiries from the public and private sectors concerning audit activity in the DOT.

Office of Aviation and Surface Transportation Audits

Supervises and conducts the performance of auditing activities of aviation and surface transportation programs relating to the Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), National Highway Traffic Safety Administration (NHTSA), Federal Railroad Administration (FRA), Federal Transit Administration (FTA), Research and Special Programs Administration (RSPA), and the Office of the Secretary of Transportation's (OST) Essential Air Service (EAS) subsidies for air carriers.

Audit Emphasis

Federal Aviation Administration

Prior audit coverage was directed toward such areas as assessment and collection of sanctions and monetary penalties, facilities and equipment funding (F&E), aviation medical examiners program, small purchases, and administrative functions at overseas FAA facilities. Recommendations resulted in improvements in controls over assessing and collecting civil penalties resulting from violations of Federal Aviation Regulations, budget execution of F&E projects, and designation of airman medical examiners.

Audit emphasis will focus on FAA procurements and operations. Future procurement-related audits will review support service contracts, radio control equipment acquisition, aircraft fleet modernization, independent operational testing oversight, remote maintenance monitoring and visual navigation aids. FAA operations to be reviewed will include FAA implementation of the Industry Drug Testing Program, reliability of new equipment, Flight Standards Inspectors and Flight Inspection.

Federal Highway Administration

Prior audit coverage has been directed primarily at reviewing FHWA's management and administration of the Federal-aid Highway Program. Audit reviews have been made of Federal-aid project funds management, the Off-System Bridge Inspection Program, the Value Engineering Program, and the Discretionary Bridge Program grant approval process. Significant impacts identified in prior audits include opportunities to expand the use of value engineering in the Federal-aid and Direct Federal Programs, and improvements needed to ensure that off-system bridges comply with the National Bridge Inspection Program.

Future audit emphasis will be focused on FHWA's management and administration of programs financed by the Highway Trust Fund. Emphasis will also be given to reviews of the Motor Carrier Safety Assistance Program and the Intelligent Vehicle Highway System Program, as well as periodic reviews of FHWA's management of the Bridge Inspection Program in accordance with a safety recommendation made by the National Transportation Safety Board.

National Highway Traffic Safety Administration

Prior audits in NHTSA concentrated on administrative, financial, and support activities, especially of controls over procurement and contracting and processing and collecting penalties. These audits have identified the need to improve contract administration of automatic data processing, ensure proper use of data from the National Accident Sampling System, and improve cash management practices.

Audit emphasis will be directed to evaluating contract administration as well as grant management activities related to the Highway Traffic Safety Grant Program at the state and Federal levels. Also, audit consideration will be given to reviewing other highway traffic and vehicle safety-related programs and NHTSA procurement and travel activities.

Federal Railroad Administration

Prior audit coverage has been directed toward industry drug testing efforts, funds management, and administrative and support areas including controls over financial records. These audits have identified the need for timely release of excess project funds for use in other projects. Future audit coverage will focus on administrative areas such as travel voucher review and program areas such as the Railroad Accident and Incident Reporting System.

Federal Transit Administration

Prior audit coverage has focused primarily on the FTA grant oversight processes, especially grantee financial management practices and the discretionary grant process. Future audit coverage will focus on identifying areas where FTA can achieve more effective and efficient use of resources. Our program audit coverage will continue to emphasize coverage of awards and monitoring of grants, unliquidated obligations and funds control, and the program review process. Future audits will review the safety, financial and procurement compliance reviews, and the inspection of mass transit bridges.

Research and Special Programs Administration

Prior audit coverage concentrated on the Automated Tariff Program and reimbursable agreements. Future audits will concentrate on the accuracy of air carrier data including reviews of T-100 and Form 41 statistics.

Accomplishments

During FY 1992, this office issued 26 internal audit reports and one report on an EAS carrier. These reports contained 152 recommendations to improve the economy, efficiency, and effectiveness of DOT programs and operations. They were issued to eight Operating Administrations and disclosed over $9.6 million in either potential dollar savings or questioned costs. A brief description of two audit reports issued during this period follows.

The FHWA had taken action to strengthen its controls for monitoring the states' compliance with National Bridge Inspection Standards (NBIS) for inspecting and posting off-system bridges. However, the OIG determined that additional improvements were needed to ensure full compliance with NBIS for (1) closing bridges that are not capable of carrying 3 tons, (2) inspecting certain types of bridges more frequently than every 2 years, (3) posting weight limit signs on bridges not capable of carrying the states' legal weight load limit, (4) performing underwater bridge inspections, (5) re-rating bridges as to their safe load carrying capacity, and (6) assuring the accuracy of data in the National Bridge Inventory. An inadequate bridge inspection program could allow unsafe bridge conditions to go undetected resulting in safety hazards to the motoring public. FHWA concurred with the report and agreed to implement the recommendations. (AS-FH-2-014)

While the Department's Drug Testing Program for Federal Employees generally operated in accordance with governing regulations, the OIG found five areas where compliance could be strengthened. We also identified five areas where program effectiveness and economy could be improved. Improvements are needed in the implementation and controls of the random selection and testing process such as a control system to monitor the frequency of employees tested to identify segments that may be constantly unavailable for testing. Improvements are also needed to ensure the drug testing pool is current and uniform so that all eligible employees are included. The Department also needs to improve management controls over contractor charges for collections and lab testing to ensure the propriety and accuracy of the charges which exceed $3.5 million annually. We also found that the random testing at the rate of 50 percent is no longer economical and recommended that a reduction to 25 percent could save $1.2 million annually in contract costs. Also, minimum standards need to be established for the time an individual is removed from a safety sensitive position and the length of time an individual participates in rehabilitation treatment plans. The Department generally concurred with the findings and agreed to take corrective action. (AS-OT-2-015)

Office of Marine and Departmentwide Audits

Supervises and conducts the performance of auditing activities relating to the U.S. Coast Guard (USCG), Maritime Administration (MARAD), as well as major audits that span all DOT Operating Administrations.

Audit Emphasis

U.S. Coast Guard

Prior audit coverage included USCG Test Equipment Calibration Program, pollution control activities, superfund activities, and World War II Merchant Marine Program. Approximately $600,000 could be saved by revising calibration intervals and approximately $1.1 million in test equipment items were missing.

Ongoing and future audits will continue to emphasize major procurements, safety, mission accomplishments and extensive use of Department of Defense inventories and equipment to minimize costs. Significant emphasis will be placed on major acquisitions, spare parts provisioning, configuration management, motor lifeboat preproduction, Polar Icebreaker Program and the airborne early warning EC-130V long - range surveillance aircraft.

Maritime Administration

Prior audits focused on the activation and deactivation of the Ready Reserve Force (RRF), costs incurred during the activation of the RRF, insurance programs in MARAD, the Maritime Subsidy Board and the Title XI Loan Guarantee Program. The insurance programs audit indicated MARAD can save about $100,000 per year by complying with the generally-accepted Government policy to act as a self-insurer for Title XI vessels.

Future audit emphasis will be directed toward program areas and support activities of MARAD's RRF operations. Audits planned in MARAD include spare parts for the RRF and the National Defense Reserve Fleet, the RRF Outporting Program and merchant marine training incentives. Other areas scheduled for review include the Ship Acquisition and Exchange Program, the Sealift Enhancement Program and ocean freight differential subsidy.

Special Reviews

Each fiscal year, the Office of Marine, and Departmentwide Audits performs the congressionally-required annual reviews of the management and use of contracted advisory and assistance services in all nine operating administrations and OST, and superfund activities in USCG.

Accomplishments

During FY 1992, this office issued 36 internal audit reports and made 118 recommendations to improve the economy, efficiency and effectiveness of DOT programs and operations, with a potential impact of $139.8 million. A brief description of two significant audit reports issued during this period follows.

The audit of the proposed acquisition of replacement helicopters for Operation Bahamas, Turks, and Caicos Islands (OPBAT) revealed USCG has the opportunity to assess and utilize other alternatives rather than purchasing new Jayhawk helicopters for the OPBAT drug interdiction mission. Because of the planned downsizing of the Department of Defense (DOD) forces, certain resources including helicopters are potentially available to satisfy mission requirements. The USCG has not fully assessed the U.S. Army UH-60 Blackhawk helicopter support which could eliminate the need for the acquisition of additional Jayhawk helicopters. As a result, the expenditure of about $136 million could be avoided by using the U.S. Army's Blackhawk helicopters and canceling USCG's proposed budget to purchase Jayhawk helicopters for OPBAT. USCG officials generally concurred with the finding and recommendations included in this report. (Report No. AV-CG-2-036)

An audit of Insurance Programs showed MARAD was properly administering the Title XI Loan Guarantee and War Risk Insurance Programs. In the cases examined, insurance policies were in effect, had never lapsed, and coverages were established in reasonable amounts. The domestic insurance market was offered the opportunity to underwrite coverage and pro rata rebates on insurance premiums were remitted to MARAD for Title XI vessels sold. MARAD was using the American War Risk Agency as an underwriter for war risk insurance. Furthermore, no claims had been filed while MARAD acted as a self-insurer. Approximately $100,000, annually, could be saved in insurance premiums by MARAD canceling commercial port risk insurance and acting as a self-insurer for Title XI defaulted vessels with clear titles and moored in safe harbors. MARAD officials generally concurred with the findings and recommendations contained in this report. MARAD canceled port risk insurance policies on the Title XI vessels with clear title and moored in safe harbors. Also, MARAD obtained refunds of unused premiums, where appropriate. (Report No. AV-MA-2-025)

Office of Information Technology and Financial Audits

Supervises and conducts financial and information technology auditing activities within DOT, including oversight of contract audits and the provision of automated data extraction and analysis services to OIG audit, inspection and evaluation, and investigation staff as requested.

Audit Emphasis

Past audits in the information technology area have involved a wide range of automated information systems resources, activities, and functions, but within that range have focused either on (1) information/ system confidentiality (i.e., protection of information resources from unauthorized access and/or disclosure); (2) information accuracy/ integrity; or (3) system reliability/availability. OMB considers these three areas to be the major components of computer systems integrity and security, as does DOT's current computer security order. Because of the importance of these three areas both within the Department and government-wide, continued emphasis will be given to them in future work.

During FY 1992, work in the confidentiality area included completion of reports on security software controls at a departmental data center, accountability over automatic data processing equipment resources within NHTSA, and MARAD's controls over the use of the Federal On-line Xchange System. Ongoing work includes an audit of system software controls at another departmental data center. During FY 1992, we also initiated a major audit of the Department's compliance with the Computer Security Act of 1987. Our approach to auditing system reliability/availability has continued to focus primarily on how well this issue has been addressed during the design and testing of major new departmental automated information systems. For example, reliability/availability issues were addressed in our audit of FAA's Electronic Time and Attendance Management System development project and are being explored as part of ongoing audits of the Departmentwide Office Automation Technology and Services Project and two FAA acquisition/development efforts, the Real-time Weather Processor acquisition and the National Aviation Safety Data Center development project.

The Financial Audit group, established in this office during FY 1992, undertook a comprehensive program of audits in the financial management systems area and will continue pursuing these during FY 1994. We completed a quality control review on the work of the independent external auditors who conducted the financial statement audit of the Saint Lawrence Seaway Development Corporation for the year ended September 30, 1991. In addition, this office completed the verification phase of a major review of the application controls structure in the Departmental Accounting and Financial Information System (DAFIS) for processing FAA, FHWA, and OST financial and accounting transactions. The flow charts prepared for this audit will provide a basis for our upcoming audits of financial statements prepared using DAFIS data. In addition, a draft report discussing the need to correct internal control weaknesses in the design of the DAFIS Financial Statements Module was issued. Surveys were completed in five Operating Administrations to identify the internal accounting and administrative controls subject to testing during audits of DOT's FY 1992 financial statements. To complement the financial statement audits discussed previously, this group assumed responsibility for auditing the Departmentwide internal control review program mandated by the Federal Managers' Financial Integrity Act (FMFIA) of 1982 and OMB Circular A-123. This responsibility includes the OIG's annual follow-up on the accuracy of the Operating Administrations' annual FMFIA submissions and the adequacy of their reported corrective actions.

Finally, this group is charged with contract audit oversight. During FY 1992, the OIG received and issued 372 audit requests to DCAA, HHS, or other audit organizations and reviewed 534 DCAA, HHS, or other audit reports, prepared synopses, and transmitted results back to the appropriate procurement offices.

Accomplishments

During FY 1992, this office issued five internal audit reports, each containing recommendations to improve internal controls over DOT automated information system activities. In addition, this office issued a quality control review report on the work of the independent external audit of the financial statements of the Saint Lawrence Seaway Development Corporation for the period ended September 30, 1991. Brief descriptions of three audit reports issued during this period follow.

As explained in a report on environmental security software controls at FAA's Mike Monroney Aeronautical Center (MMAC), MMAC's Data Center did not have a process in place for systematically assessing the integrity of individual system software components prior to implementing them on its administrative mainframe computer system. Further, all 14 of MMAC's systems programmers, who install and maintain system software on that computer, had unusually broad system access privileges which provided them the ability to access and modify data sets outside the scope of their authorized duties and responsibilities. In addition, FAA did not assess environmental security software controls at MMAC during its FMFIA evaluation process for FYs 1989 and 1990. That process, therefore, did not identify these two material internal control weaknesses. Finally, FAA did not target either of these material internal control weaknesses for corrective action in its computer security plan for MMAC's Data Center, prepared in response to the Computer Security Act. The OIG made 16 recommendations to the FAA Administrator to correct these problems, including recommendations calling for: (i) the Director of MMAC to establish and implement a formal process for systematically assessing the integrity of all existing system software components on the administrative mainframe computer system and each proposed addition prior to its implementation; (ii) the Director to restrict and control systems programmers' access privileges; (iii) FAA's Office of Management Systems to improve the FMFIA process by adding, where appropriate, a management control component for environmental security software, and developing and implementing formal procedures for ensuring proper assignment and assessment of new management control components; and (iv) FAA's Office of Civil Aviation Security to revise the computer security plan for MMAC. The agency generally concurred with the report findings and associated recommendations, and has taken or planned appropriate corrective actions. (Report No. AD-FA-2-001)

As described in a report on accountability controls over Automatic Data Processing Equipment (ADPE), NHTSA Headquarters offices did not effectively: (i) assign and record ADPE acquisitions; (ii) record ADPE transfers and dispositions; (iii) perform physical inventories; or (iv) perform ADPE property reconciliations, despite agency guidelines calling for implementation of these internal controls. ADPE items acquired during FY 1990 at a cost of $493,000 were not recorded in NHTSA's property management system at the time of delivery and ADPE valued at $162,096 was not located by OIG or NHTSA Board of Survey searches. Further, physical inventories were not timely or comprehensive, and required quarterly reconciliations were not performed between detailed subsidiary property records and general ledger control accounts. Finally, government-owned computer resources were made accessible to former contractor employees who used them for non-government purposes. The OIG's recommendations called for the NHTSA Administrator to: (i) increase awareness of existing directives regarding ADPE accountability and use; (ii) establish procedures to ensure compliance with existing guidance on acquiring, assigning, recording, transferring, disposing of, and accounting for ADPE; (iii) conduct a baseline ADPE inventory; (iv) improve NHTSA's internal control review process; and (v) incorporate property accountability issues into NHTSA's computer security awareness training program materials. The agency agreed with the report finding and associated recommendations, and has taken or planned appropriate corrective actions. (Report No. AD-NH-2-002)

In our audit of the Federal Aviation Administration's (FAA) Development and Implementation of the Electronic Time and Attendance Management System (ETAMS), we reported that FAA has not ensured the use of generally accepted system development lifecycle practices in developing and implementing ETAMS. Additional efforts are needed to improve internal controls over ETAMS project management and justify Departmentwide implementation of ETAMS. ETAMS has evolved into an operational system serving Departmentwide users without FAA first (i) preparing key system documentation prescribed by Federal, Departmental, and/or FAA directives for the system development and operations phases, and (ii) obtaining a formal security certification for the system. We recommended the Assistant Secretary for Administration (i) formally restate the Office of the Secretary's position on the deferral of departmental implementation of ETAMS, (ii) work with FAA and representatives from potential user organizations to reevaluate whether ETAMS functions, features, and configurations meet user needs and whether users can or will support the systems procedural and operational requirements, (iii) specify DOT's position with regard to further implementation of ETAMS as a mandatory or optional system within individual Departmental components, and (iv) assign responsibility and provide guidance to assist FAA in developing a cost-benefit analysis and implementation plan for ETAMS.

We also recommended that FAA's Administrator (i) suspend all further implementation of ETAMS pending completion of the ETAMS reevaluation and planning documents (such as site surveys for each time and attendance site, updated functional requirements and system/subsystem specification documents, and cost-benefit analysis and sensitive application certification encompassing all physical platforms on which ETAMS resides), (ii) implement a project cost tracking system for ETAMS, (iii) verify all future ETAMS program changes to ensure they are thoroughly tested and documented in accordance with the software testing and documentation procedures prescribed in FAA Orders, (iv) prepare, based upon OST's implementation position and the results of the site surveys and cost-benefit analysis, a detailed implementation plan for each Operating Administration, (v) ensure the ETAMS Project Manager is fully aware of, and held accountable for fulfilling, all responsibilities associated with that position, (vi) provide updated functional requirements and system/subsystem requirements documents to the Integrated Personnel Payroll System (IPPS) task force for use in evaluating specifications for the time and attendance component of IPPS, (vii) report the absence of an approved security certification for ETAMS as a material internal control weakness when preparing FAA's next FMFIA submission to the Secretary, and (viii) include certification of sensitive systems as a separate component in FAA's FMFIA evaluation process, and schedule vulnerability assessments and/or an internal control evaluation as appropriate.

OST and FAA officials generally concurred with the report finding and recommendations. However, FAA only partially concurred with the recommendation to suspend further implementation of ETAMS pending completion of project documentation. Subsequent to issuance of the draft version of this report, FAA corrected the material weakness, which was the basis for the recommendation to suspend ETAMS implementation. OST and FAA have planned corrective actions which, when fully implemented, should result in sufficient improvements to allow limited further implementation of ETAMS. (Report No. AD-FA-2-005)

Regional Audit Offices

OIG regional offices conduct audits in assigned geographical areas and lead selected major Departmentwide and Operating Administration-wide audits that are performed using a coordinated approach. A breakdown of regional responsibilities follows.

Audit Region	FAA Region	USCG District	FHWA Region	NHTSA Region	FRA Region	SLSDC	FTA Region	MARAD (*)	RSPA
JRA-II	Eastern New England	1	I	I	I	a/	1 & 2	c/	d/
JRA-III	-	5	III	3	II		3		
JRA-IV	Southern	7	IV	4	III		4		
JRA-V	Great Lakes	9	V	5	IV		5		
JRA-VI	Southwest b/	8	VI	6	V		6		
JRA-VII	Central	2	VI	7 & 8	VI		7 & 8		
JRA-IX	Western Pacific	11 & 14	IX	9	VII		9		
JRA-X	Alaska Northwest Mountain	13 & 17	X	10	VIII		10		

(*) Audit responsibilities for these Modal Administrations do not match our regional alignments.

a/ Performs all audits of St. Lawrence Seaway

b/ Including Aeronautical Center at Oklahoma City

c/ Including U S. Merchant Marine Academy

d/ Including Transportation Systems Center

Accomplishments

During FY 1992, regional offices issued 119 internal audit reports with a potential cost impact of $931.1 million. The offices also issued 1,245 grant/subsidy reports with questioned costs totalling $53.8 million. In addition, six contract audit reports were issued with questioned costs totalling $2.0 million. The following schedule provides a breakdown by regional office.

Regional Audit Office	Internal Reports No.	Internal Reports Dollar Impact* (Millions)	Grant/Subsidy Reports No.	Grant/Subsidy Reports Dollar Impact * (Millions)	Contract Reports No.	Contract Reports Dollar Impact* (Millions)
JRA-II	18	$23.5	124	$0.8	1	$0.0
JRA-III	8	$1.4	76	$23.4	2	$0.6
JRA-IV	11	$461.5	183	$10.0	0	$0.0
JRA-V	6	$18.9	123	$1.4	0	$0.0
JRA-VI	12	$138.0	84	$5.4	3	$1.3
JRA-VII	16	$6.7	88	$0.2	0	$0.0
JRA-IX	12	$56.1	137	$1.4	1	$0.9
JRA-X	11	$154.1	65	$0.2	0	$0.0
Totals	94	$860.2	880	$42.8	7	$2.8

* Includes costs questioned, costs unsupported, and funds put to better use.

Brief descriptions of several audit reports issued during this period follow.

U.S. Coast Guard

The USCG published the Local Notice to Mariners (LNM) publication more frequently than necessary and did not charge a user fee. This occurred because USCG policy required the LNM to be published weekly, without regard to the actual needs of mariners. In addition, the USCG did not charge LNM subscribers a user fee because the USCG has historically provided safety information to the public free of charge. Our statistical sample of 500 mariners found that the majority did not need the LNM on a weekly basis and would be willing to pay a user fee. As a result, the USCG could save an estimated $2.4 million annually by publishing the LNM on a monthly basis and instituting a user fee.

Recommendations were made requesting the USCG Commandant to: (i) establish a reasonable frequency for the LNM, identify all LNM program costs, and initiate a user fee sufficient to cover the entire cost of the LNM program; and (ii) eliminate redundancy in LNM data. In their response to the final report, the USCG generally agreed with our recommendations and described plans to initiate a study which will incorporate and build upon the results of our audit. With an objective to reduce costs, this study will examine the entire navigation information network. The USCG will poll each district commander concerning ways to reduce the overall size of the LNM to reduce costs. The USCG also intends to reduce the personnel used to assemble the LNM and to cut mailing costs. To begin their study, the USCG has initiated preliminary discussions with the USCG Research and Development Center and plans to meet with representatives from the Transportation Systems Center. The study will focus on costs and methods associated with gathering, processing, and disseminating information for the LNM. To help determine the needs of all mariners, the USCG will also issue a request for comments in the Federal Register, addressing issues such as cost and frequency of the LNM. A copy of the study will be provided to us upon its completion. (Report No. R2-CG-2-043)

Federal Aviation Administration

An airport had overcompensated property owners about $49.1 million ($39.3 million Federal share) and will overcompensate remaining owners an additional $178.7 million ($142.9 million Federal share) for easements in neighborhoods impacted by airport noise. Further, in the absence of effective land-use ordinances, future noncompatible development in the airport's noise impacted area could require as much as $800 million in Federal assistance for noise mitigation measures. We made several recommendations to preclude Federal participation in unnecessary and uneconomical aeronautical easements. In almost all cases, eligible compensation should be limited to amounts spent by the airport to install soundproofing as this exceeds any actual loss in the value of the property. However, supplemental cash should be paid to the homeowner when his actual loss (his purchase price minus the present market value) exceeds the cost of soundproofing and such loss can be attributed to increased airport noise levels. We also recommended that FAA disapprove grants for airport noise mitigation in areas lacking effective land-use ordinances and identify these internal control weaknesses to the President and Congress in the next FMFIA report.

Although no significant agreement has been reached with FAA on our recommendations, FAA and OIG officials are currently working to reach consensus on the corrective actions to be taken and guidance to be provided to airport sponsors. (Report No. R4-FA-2-046)

In an audit of airport land acquisition, we found that a sponsor had purchased 86 properties costing $12.7 million ($10.2 million Federal share) located outside the airport's noise impacted area. Further, this sponsor was using expensive condemnation proceedings to acquire 38 properties in noise impacted areas eligible for acquisition only if the property owners agree to voluntary sales. The use of condemnation proceedings may unnecessarily increase the acquisition cost for these parcels by as much as $4.4 million ($3.5 million Federal share). In addition, the sponsor was reimbursed $139,000 for costs not eligible for FAA grant reimbursement and $180,069 for costs not adequately supported. We recommended, and FAA officials agreed, to disallow Federal reimbursement for properties outside the airport's noise impact area, recover excessive costs incurred to condemn properties subject only to voluntary sale, recover ineligible costs, and recover unsupported costs unless adequate documentation is provided. (Report No. R4-FA-2-012)

The State of Hawaii Department of Transportation Airports Division transferred airport revenue to the State general fund in excess of allocable central service costs. These transfers were required by State statute and resulted in approximately $36.7 million not being made available for aviation purposes. We recommended FAA initiate the procedural steps necessary to reach a final determination regarding possible noncompliance with grant assurances. If non-compliance is found, the FAA should require the State to refund the $36.7 million to the State Airport Revenue Fund for use in accordance with grant assurances and to withhold future grant payments until the State is in compliance with the grant assurances. FAA initiated the procedural steps necessary to reach a final determination regarding noncompliance with grant assurances. (Report No. R9-FA-2-070)

Federal Transit Administration

More than 5 years after the Department adopted regulations establishing minimum criteria and quality standards for paratransit services, handicapped persons have not received the level and quality of service intended by Congress and at least 12 grantees received $1.2 billion of Federal funds while technically ineligible for assistance. Noncompliance with Federal requirements and significant operational deficiencies continued without detection, correction, or termination of Federal funding because FTA oversight of the Section 504 program was inadequate. Grantees also did not negotiate reasonable contract prices for paratransit services and did not adequately monitor contractor performance. As a result, contractors made as much as 78 percent profit, excessive payments were made, and fraud occurred while service provided for handicapped persons was below minimum Federal standards or contract requirements. We recommended FTA require grantees to bring their paratransit programs into compliance with current Federal regulations or risk losing DOT assistance, strengthen FTA oversight over the paratransit program, and establish a requirement that paratransit contracts be included in FTA procurement reviews. FTA stated there are many similarities between Section 504 and the Americans with Disabilities Act (ADA) regulations and, therefore, information in the draft report was relevant. FTA also said audit observations and recommendations would be helpful in the implementation of ADA. However, FTA stated since it was not taking further action with respect to grantees' Section 504 plans, it did not believe there was any need to implement the audit recommendations. Working through the Departmental Resolution Official, we have obtained concurrence from FTA and an implementation schedule. (Report Number R6-FT-2-052)

Federal Highway Administration

OIG auditors found FHWA needs to strengthen its administration of the Vehicle Weight Enforcement Program to reduce overweight vehicles on the nation's highways. The audit, which was made in eight states, disclosed that neither FHWA nor the states had the data needed to ensure enforcement resources and efforts were maximized. Also, enforcement resources and practices varied widely among the states and minimal enforcement was provided to non-interstate highways. Further, existing laws and enforcement practices needed strengthening to deter violations and recover the cost of premature highway deterioration caused by overloads.

Research shows overweight trucks cause many of the nation's highways to wear out prematurely and increase the possibility of bridge stress and fatigue. According to this research, overweight trucks cost the Federal-aid highway system an estimated $1.0 billion annually in premature highway deterioration and possibly another $500 million annually in bridge repair and replacement. The OIG believes damages caused by overweight trucks can be reduced by at least one-tenth, about $150 million annually, or as much as one-fourth, about $375 million annually, through various FHWA actions.

Recommendations to the FHWA Administrator concerned the need for identifying the extent of overweight trucks by using Weigh-In-Motion equipment; promoting, monitoring, and evaluating the use of this equipment; analyzing state enforcement plans more critically; requesting statutory authority to prohibit the use of certain load permits; working closely with states to evaluate and improve existing fine structures; promoting nontraditional enforcement techniques; and eliminating state weight tolerances that are inconsistent with Federal statutes. FHWA promised corrective actions, including target implementation dates, for all recommendations concerning program performance. (Report No. R0-FH-2-003)

OFFICE OF THE ASSISTANT INSPECTOR GENERAL FOR INSPECTIONS AND EVALUATIONS
SUMMARY STATEMENT

Description

The AIGE provides executive direction and guidance to Headquarters and regional inspections and evaluations offices. The specific responsibilities of the AIGE as related to the Inspector General Act of 1978, as amended, encompass meeting strategic objectives by providing independent and objective inspections and analyses of the effectiveness, efficiency and economy of the programs and operations of DOT. The AIGE performs inspections and evaluations of Departmental programs and operations including general management inspections and evaluations of Departmental operating administrations and other organizational elements and activities; conducts reviews of non-criminal allegations; conducts reviews responding to Congressional inquiries and Departmental concerns; and assists in the review and evaluation of existing and proposed legislation and regulations within DOT. The AIGE was established to provide more immediate and timely feedback to program managers, and, in some instances, may provide suggestions for future audits or referrals for criminal investigations.

Inspections and Evaluations Resources

A breakdown of inspections and evaluations positions by office and function is provided below.

Office	Inspections & Evaluations	Management & Supervision	Clerical Support	Total Positions
JE-1	0	1	1	2
JE-2	2	1	0	3
JRE-1	6	1	0	7
JRE-5	6	1	1	8
Totals	14	4	2	20

BUDGET DATA

	FY 1993 Estimate	FY 1994 Estimate	Difference
Permanent Positions	20	20	0
Full Time Equivalents	19	20	1
Personnel Compensation and Benefits	$1,113,000	$1,136,000	$23,000
TOTAL	$1,113,000	$1,136,000	$23,000

Change in Resources

The increase in FTEs is to fully annualize the on-board staff. The increase in personnel compensation is to fully fund the on board staff, to annualize the FY 1993 pay raise and to provide for merit pay increases. The increase in benefit costs is necessary to fully fund the benefits associated with these personnel compensation increases.

OBJECTIVES AND ACCOMPLISHMENTS

Areas of Inspections and Evaluations Emphasis

FAA Straightlining Inspection

At the request of the Chairman of the House Public Works and Transportation Committee's Aviation Subcommittee, the AIGE Chicago Regional Office initiated a review of the effectiveness of the FAA's 1988 reorganization known as "straightlining". This reorganization resulted from a Secretary of Transportation directed study of FAA's management structure. The study recommended several internal reforms of the FAA, including personnel practices, procurement procedures, budgeting, and rule making, as well as significant changes in the management structure. Within those FAA organizations affected by the 1988 restructuring, straightlining sought to significantly increase the centralization and standardization of management oversight and reporting relationships. Overall, straightlining aimed to minimize regional variations in FAA's operations by making regional operating divisions directly accountable to headquarters.

The goal of this inspection is to assess the effectiveness by which the FAA communicates and oversees policy execution since the 1988 management reorganization. Specifically, the inspection seeks to evaluate: 1) how the FAA internally communicates and coordinates information within and between straightlined organizations; and 2) how consistently the FAA applies national policies towards the aviation community.

Inspection of the RSPA's Collection of Airline Data

RSPA requires air carriers (approximately 435) to provide comprehensive financial and statistical data on their operations. Uses of RSPA aviation information are both safety-related (enplanements, aircraft hours, passenger miles) and economic-related (mail rates, small community essential air service, airport funds). RSPA data users include: Federal agencies, state and local governments, aviation industry, and academia. Each year RSPA receives about 20,000 paper reports with financial data and about 500 statistical reports on computer tape. To disseminate this data, RSPA maintains a public reference room in Washington, D.C., provides an on-line data bank for DOT users, and sells data to private firms for broad distribution.

In early 1992, American Airlines proposed that DOT eliminate all carrier requirements to report financial and statistical data. Arguing that this data has little use in light of deregulation and its availability from other sources, American Airlines pointed out that it cost them several hundred thousand dollars a year meeting RSPA's data collection and report requirements.

The purpose of this inspection is to evaluate DOT's use of RSPA data, the relevance of the data, and the effectiveness and efficiency by which RSPA evaluates and revises its data requirements from airlines. We will also examine how RSPA assesses user needs, alternate information sources, and airline burdens in determining required airline data content and format.

FAA's Oversight of Northwest Airlines Check Airmen Program

At the request of Congressman Newt Gingrich, the AIGE is conducting an inquiry into allegations that Northwest Airlines, Inc. (NWA) has discriminated against pilots who were formerly employed by Republic Airlines. Specifically, there are several complaints of misconduct by

NWA in their training practices and by their check airmen while conducting checks required by the Federal Aviation Regulations. The final draft report is currently being reviewed.

Evaluation of the Department's Regulatory Process

At the request of the Secretary, the AIGE is conducting an evaluation of the Department's regulatory process to determine the reasons for delays in the process. This evaluation includes identifying and describing the DOT's rulemaking processes, including the internal concurrence process; reviewing the processes, issues and problems within each operating administration; and making recommendations for improvement of the process.

Leavenworth Airport

In response to a OIG Hotline complaint, the AIGE is reviewing the FAA Airport Master Plan study grant for a proposed reliever airport in Leavenworth, Kansas. Several allegations were presented regarding the eligibility of the grant sponsor, the accuracy of the consultant's data and recommendations, and the viability of the proposed site for the development. A draft report is under management review.

FAA Grants for Airport Improvement in Westchester County, NY

At the request of Congressman Christopher Shays, the AIGE is assessing the legality of six grants, including grants to improve the alternate runway. Tree growth in adjoining Connecticut has penetrated the runway protection zone for the alternate runway, and federal law requires an airport sponsor to take action to remove such hazards. The airport is currently involved in legal action seeking tree removal, and the threshold of the runway has been displaced to compensate for the hazard. A draft report is in preparation.

FAA Costs of Operating with the Computer Resources Nucleus Project

In response to a Hotline complaint, the AIGE is conducting an inquiry into an allegation of waste of funds by FAA. Under the Computer Resources Nucleus (CORN) project, FAA moved computer services from Mike Monroney Aeronautical Center in Oklahoma City, OK to a contractor, Electronic Data Systems (EDS), Inc. in Plano, TX. The complaint states it cost $3.2 million to run the computer at FAA last year and is now costing $3.2 million monthly at EDS. Evaluation of FAA information is in process.

Quick Response

The crash of an El Al Boeing 747-200 cargo jet in Amsterdam on October 4, 1992 again raised the question of the effectiveness of the safety alert process in correcting suspected aircraft maintenance and design problems. Some experts within the aviation community believe the manufacturers and FAA are sometimes still too slow in issuing notices of important fixes. The goal of this inspection is to evaluate the effectiveness and efficiency of the FAA response to maintenance and design problems. This study is currently in process, with contacts already made with the FAA, National Transportation Safety Board, and members of the aviation community.

Fort Lauderdale Flight Standards District Office Inquiry

At the request of Senator Lugar, Senator Coats, and Congressman Myers, the AIGE conducted an inquiry into FAA handling of certain allegations made against Charter One/Spirit Airlines. The AIGE reviewed the FAA's investigation of allegations that the airline violated federal aviation regulations pertaining to airport analysis procedures, crew rest and reserve duty, and maintenance irregularity reporting. The inquiry also addressed allegations that the Fort Lauderdale Flight Standards District Office (FSDO) did not conduct a proper investigation, and the FAA did not conduct an independent investigation of the District Office.

The goal of the inquiry is to evaluate the processes by which the FSDO investigated the alleged safety violations, and to determine if FAA exercised proper oversight over the investigation. The field work and data analysis have been completed, and the draft report is being coordinated with the FAA. After evaluation of any FAA comments, a final report and reply to the requesters will be issued.

Accomplishments

Staffing

In the second quarter of FY 1992, the AIGE was formally established with initial staffing provided through a detail of four staff members from the U.S. Department of Health and Human Services' Office of the Inspector General to the Chicago Regional Office. A Regional Inspections Manager was selected for Chicago and action was initiated during this period to staff additional positions in Chicago and

Headquarters. Early in the fourth quarter, an AIGE was selected. Currently this office has 19 of the 20 positions staffed.

Projects

Alleged Disparate Treatment of Business Jet Airways

At the request of former Senator and now Vice President Albert Gore, the AIGE conducted an inquiry into allegations that Business Jet Airways received inconsistent treatment in the administration of law and regulations when it transferred its certificate from the Atlanta Flight Standards District Office (FSDO) to the Tennessee FSDO. The review concluded that the actions of the Tennessee FSDO were in conformance with Federal regulations and FAA policies.

FAA's Reduction in Force of Air Traffic Assistants in the Southwest Region

At the request of Congressman Glenn English, the AIGE conducted a review of allegations that FAA improperly conducted a reduction in force (RIF) of air traffic assistants (ATAs) in the Southwest Region. Specifically, the allegations were that: (1) the RIF was not in accordance with Office of Personnel Management (OPM) procedures; (2) the RIF was in violation of a 1988 FAA "national policy" memorandum; and (3) GS-7 ATAs were being replaced by GS-13 air traffic control specialists (ATCSs). Our review concluded that: (1) the RIF was done in accordance with OPM procedures; (2) the RIF was not conducted in accordance with the 1988 memorandum, however that memorandum was not "national policy;" and (3) FAA did not replace the abolished ATAs with ATCSs.

OFFICE OF THE ASSISTANT INSPECTOR GENERAL FOR INVESTIGATIONS
SUMMARY STATEMENT

Description

Under the authority of the Inspector General Act of 1978, as amended, and under the executive direction of the IG, the AIGI supervises and conducts all IG investigative activities related to DOT programs and operations. The AIGI ensures compliance with the President's Council on Integrity and Efficiency (PCIE) standards for OIG criminal investigations. Also, the AIGI manages the IG Hotline Complaint Center. The AIGI, in addition to investigating allegations of fraud referred from other DOT agencies, also monitors the investigations referred to other DOT investigative elements. The OIG is responsible for the general oversight of criminal investigations within DOT and provides support to audit and inspections and evaluations activities, as needed.

The Office of the AIGI consists of the AIGI's immediate office (JI-1), the Deputy AIGI (JI-2), and seven regional offices.

Investigative Resources

A breakdown of investigative positions by office and activity is provided below. Definitions of investigative activity types follow.

Allocation of Investigative Full-Time Positions
By Activity and Office for FY 1994

	Investigations				
Office	Reactive/ Proactive Preliminary Inquiries	Hotline Complaint Center	Management	Administrative/ Clerical	Total Pos.
JI-1			1.0	1.0	2.0
JI-2	1.0	2.0	3.0	4.0	10.0
JRI-1	5.5	1.0	1.5	1.0	9.0
JRI-2	7.0	1.0	1.5	1.5	11.0
JRI-3	5.0	1.0	1.5	1.5	9.0
JRI-4	8.5	1.0	1.5	1.0	12.0
JRI-5	5.5	1.0	1.5	1.0	9.0
JRI-6	8.5	1.0	1.5	1.0	12.0
JRI-9	6.5	1.0	1.5	1.0	10.0
Totals	47.5	9.0	14.5	13.0	84.0

Reactive Investigations - Their primary focus are on specific individuals or companies that are usually targets at the outset of an investigation based on some alleged or suspected violation of the law. Most of these cases are complex, sensitive, and of a protracted nature which require a substantial amount of investigative resources. Reactive investigations continue to be the area of greatest emphasis and dedication of staff effort.

Proactive Investigations - These are efforts which focus on DOT operations or activities that are vulnerable to fraud and abuse. They may be narrow in scope and test a specific activity on broader-based, systematic reviews with an emphasis on the development and refinement of preventive measures. Quite often, reactive cases are initiated as a result of these investigations.

Preliminary Inquiries - These are limited reviews where a factual basis for a full investigation does not yet exist, but some investigative work is needed before the matter is resolved. Preliminary inquiries usually involve generalized, ambiguous, or incomplete information or preliminary information received from a source of unknown reliability and, therefore, require further work to determine if an investigation is warranted.

DOT Hotline Complaint Center - Activities consist of the receipt, evaluation, investigation, and referral of complaints for additional investigation, audit, inspection and evaluation, or administrative action.

Management - Investigative management includes senior Headquarters and field investigative officials who direct the performance of all investigations relating to DOT programs and operations. The Headquarters staff includes professional support personnel who have responsibilities for oversight of the field operations and the development of policy and procedures. This management and supervision includes ensuring compliance with standards for conducting criminal investigations.

Administrative/Clerical - Administrative assistants, secretaries, and clerk-typists who process and type reports and correspondence, answer telephones, file documents, and perform other administrative duties in support of the investigative mission, including responsibilities for input of data to the Management Information System (MIS) and retrieval and analyses of this data.

BUDGET DATA

	FY 1993 Estimate	FY 1994 Estimate	Difference
Permanent Positions	84	84	0
Full Time Equivalents	84	84	0
Personnel Compensation and Benefits	$4,911,000	$5,108,930	$197,930
Administratively Uncontrollable Overtime (AUO)	$346,000	$400,000	$54,000
TOTAL	$5,257,000	$5,508,930	$251,930

Change in Resources

The increase for personnel compensation is to annualize the FY 1993 pay raise and to provide for merit pay increases. The increase in benefit costs is necessary to fully fund the benefits associated with these personnel compensation increases and the requested increase in AUO. The additional AUO is to increase the allowance levels for all criminal investigators, as provided by Title 5, United States Code, Section 5545(c)(2), as amended.

OBJECTIVES AND ACCOMPLISHMENTS

The OIG investigative organization is divided into Headquarters and field operations. Headquarters staff perform a control and quality assurance role, and develop and coordinate National projects as well as conduct special investigations that are not suitable for field office assignment. In the seven regional offices, Special Agents-in-Charge (SACs), assisted by Assistant SACs, are responsible for initiating investigations, referring results of investigations for prosecutions and/or administrative actions, as appropriate, and controlling the activities of assigned special agents in their respective regions. In addition, SACs are responsible for investigative assistance and advice to Operating Administration Regional Administrators, Regional Audit Managers, and Regional Inspection Managers.

Areas of Future Investigative Emphasis

The high priority areas for future investigative activity will continue to be suspected unapproved parts, motor fuel excise tax evasion, and bid rigging and grant/contract fraud activities. However, based on past and present investigative efforts, we plan to emphasize and develop additional areas for investigative activity including surety bonding fraud, disadvantaged business enterprise fraud, and workers compensation benefits fraud.

The following are expected to continue to be or become significant areas for the FY 1994 workload.

Suspected Unapproved Parts

Over the last 5 years, the transportation industry has seen a significant increase in Suspected Unapproved Parts (SUPs). As a result, the OIG has conducted investigations to detect the use and prevalence of Substandard Materials and Unauthorized Parts. This includes fasteners used in the aerospace, aviation, highway, and mass transit industries. Counterfeit fasteners (bolts) have surfaced in almost every DOT Operating Administration and every region across the country.

At the end of FY 1991, DOT/OIG had a total of 52 investigations pending which involved Substandard Materials/Unauthorized Parts affecting FAA, FHWA, FTA, and USCG programs. (Thirty-seven of these were related to the aviation industry.) However, by the end of FY 1992, the number of pending investigations increased significantly to 235. Approximately one-half of our investigative workforce is participating in this effort. For FY 1992, the total investigative time charged is equal to almost two and a half times the entire FY 1991 charges. To date OIG special agents have discovered that over 90 percent of the targets in the counterfeit/bogus parts cases relate to the aviation industry.

The OIG is participating with other law enforcement agencies such as the Federal Bureau of Investigation (FBI), the Defense Criminal Investigative Service (DCIS), and U.S. Customs in the SUP area. These joint initiatives, some of which are currently ongoing in Philadelphia, Phoenix, South Florida, and Seattle, have required us to commit at least one special agent full-time to the task forces. Our full-time participation will grow in FY 1994.

The impact of SUPs on aviation safety has made this area our number one investigative priority. Our development of SUPs investigations has been so rapid that we have been forced to prioritize other investigations and allocate other scarce resources based upon their impact on public safety.

Motor Fuel Excise Tax Evasion

It is estimated that this fraud results in over $1 billion per year being diverted from DOT's Highway Trust Fund. Motor fuel taxes account for more than 85 percent of the tax revenue credited to the Highway Trust Fund. In total, these taxes provide about $15 billion annually for highway and transportation improvements. Motor fuel taxes also contribute about $3 billion annually toward deficit reduction. The FHWA, due to increasing demands on the Nation's highway systems, has committed significant resources to improve the motor fuel tax collection process. Beginning in FY 1990, Congress authorized funding from the Highway Trust Fund, administered by the FHWA, to boost cooperative motor fuel tax enforcement efforts between the states and the Internal Revenue Service (IRS). In 1990, the Joint Federal/State Motor Fuel Tax Compliance Project (Joint Project) was initiated and, in fiscal years 1990, 1991, and 1992, approximately $7.2 million was committed to the Joint Project, which has funded IRS $4.5 million for the creation of a central motor fuel taxpayer database and increased examination and criminal investigation activities. The remaining $2.7 million funded the states' efforts and training and research initiatives. This funding resulted in the creation of regional motor fuel tax enforcement task forces involving 40 states.

In FY 1992, the OIG participated, where resources permitted, with the IRS and the FBI in several task forces set up as part of the Joint Project. As a result of our brief involvement to date, we now know that the motor fuel excise tax evasion schemes have spread nationwide and exist in virtually every metropolitan area where there are large fuel refining, storage, and distribution facilities. Additionally, we have learned that organized criminal elements are among the principal perpetrators of this type of fraud. To combat this major problem, the Intermodal Surface Transportation Efficiency Act of 1991 authorized through 1997 $5 million per year from the Highway Trust Fund and $2.5 million per year from the General Fund for highway use tax evasion projects. Since approximately $41 million will be available during the years 1992-1997 for this effort, the Joint Project program will be expanded to all 50 states and the District of Columbia (see following page). To date, the IRS has stated that their motor fuel tax examination program has expanded nationwide, and for every dollar spent, they net an overall return of $39 for each dollar spent on motor fuel tax. Of the total gasoline excise tax collected by IRS, 81.6 percent is returned to the Highway Trust Fund. As for diesel fuel, 87.1 percent of these excise taxes collected are returned to the Highway Trust Fund. The remaining revenue collected is used for deficit reduction and the Leaking Underground Storage Tank Trust Fund.

A major element of the comprehensive effort to enhance motor fuel excise tax compliance is the vigorous effort to investigate and prosecute the perpetrators. Since motor fuel taxes represent a relatively small revenue source--between 1 and 2 percent of total IRS collections--FHWA believes it is unlikely that the IRS will be able to increase compliance resources substantially at the expense of compliance activities aimed at larger revenue sources.

As seen in the following exhibit, the demands for our investigative assistance will increase dramatically by FY 1994. Specifically, we are currently involved in four of the task forces. Since motor fuel excise tax evasion has become such a critical area, the Inspector General has identified this type of fraud as her second highest priority. The following is a list of established regional task forces.

Regional Task Forces for the
Joint Federal/State Motor Fuel Tax Compliance Project

New Jersey Task Force
- New Jersey (Lead)
- Delaware
- New York
- Pennsylvania
- Maryland
- District of Columbia

New England Task Force
- Massachusetts (Lead)
- Connecticut
- Maine
- New Hampshire
- Rhode Island
- Vermont

North Carolina Task Force
- North Carolina (Lead)
- South Carolina
- Virginia
- West Virginia
- Tennessee

Texas Task Force
- Texas (Lead)
- Louisiana
- New Mexico
- Arkansas
- Oklahoma

Regional Task Forces for the Joint Federal/State Motor Fuel Tax Compliance Project
(Continued)

California Task Force
- California (Lead)
- Nevada
- Hawaii
- Arizona
- Utah

Florida Task Force
- Florida (Lead)
- Georgia
- Mississippi
- Alabama

Nebraska Task Force
- Nebraska (Lead)
- Wyoming
- South Dakota
- Iowa
- Kansas
- North Dakota
- Colorado

Northwest Task Force
- Oregon (Lead)
- Washington
- Alaska
- Montana
- Idaho

Indiana Task Force
- Indiana (Lead)
- Illinois
- Michigan
- Ohio
- Kentucky
- Missouri
- Wisconsin
- Minnesota

Bid Rigging/Grant and Contract Fraud

The OIG has continued its commitment to detect and prevent bid rigging in DOT-funded projects and programs. For FY 1992, OIG special agents conducted joint investigations with the Justice Department's Antitrust Division which resulted in 11 indictments and four convictions involving bid rigging. With the passage of the $151 billion Intermodal Surface Transportation Efficiency Act of 1991, of which $119 billion is allocated for highway programs, the OIG anticipates a significant increase in grant and contract fraud, including bid rigging activity during the next several years. With the additional contract and grant funding, the OIG will continue its efforts to detect and prevent bid rigging in DOT funded projects and programs.

Surety Bonding Fraud

Investigative activity for the surety bonding fraud area is expected to increase due to recent judicial successes. Our work in this area has revealed that the use of fraudulent surety bonds in transportation-related industries is a significant problem. Investigative efforts have also revealed that not only has DOT been adversely affected by fraudulent bonds, but also minority-owned business enterprises (MBEs) have been victims of these schemes. When a fraudulent surety bond is submitted on a Federal contract, there is the immediate effect of having paid for goods (valid bonds) which have not been delivered. Since MBEs have a difficult time obtaining bonding, they end up paying large premiums for worthless goods. As a result of a recent OIG investigation, three individuals involved in a fraudulent surety bond scheme were charged in a 49-count indictment. At the end of FY 1992, the OIG had a total of eight surety bond investigations pending involving FHWA, FAA, and USCG programs.

Disadvantaged Business Enterprise (DBE) Fraud

Another area which the OIG anticipates increased future investigative activity is fraud in the Disadvantaged Business Enterprise (DBE) program. This type of fraud has traditionally surfaced in the form of "front" companies whereby minority participation on DOT-funded contracts has been misrepresented. Historically, this fraud has not been criminally prosecuted. Instead, civil/administrative sanctions have been placed on the perpetrators. The OIG plans to vigorously investigate these allegations and encourage Federal or state criminal prosecution in order to achieve the critical deterrent effect needed in the DBE fraud area. The OIG currently has fourteen pending investigations of DBE fraud underway.

Workers' Compensation Benefits Fraud

During FY 1992, U.S. Senator Jim Sasser identified aggressive action on the part of the Tennessee Valley Authority Inspector General's Office in its investigative efforts involving the Federal Employees' Compensation Act (FECA). Consequently, Senator Sasser queried other Inspector General Offices as to the FECA Program for the agencies within their jurisdiction. The workers' compensation benefits fraud area is one example of many future OIG proactive initiatives which will be developed in order to determine the extent of this type of fraud. These benefits are paid under FECA for injuries or deaths sustained by DOT employees and include compensation and medical costs. The Department of Labor bills DOT annually for their total costs, and the most recent annual bill for DOT totalled over $80 million. Of this amount, FAA's portion was over $71 million, or 89%; USCG's portion was over $5 million, or 6%; and MARAD's portion was over $1 million, or 1.3%. The proactive investigative effort will initially focus on the FAA in order to identify any potential fraud. Past investigative experience has revealed that this is an area which has been rife with fraud.

Training, Public Awareness, and Other Services

Additional future investigative emphasis will include the OIG's training and fraud awareness and prevention efforts. This is an attempt to heighten the awareness of DOT and private sector managers and employees to the potential for fraud and abuse in their programs and operations, and to deter those receiving DOT grants and contracts from involvement in fraudulent activity. Recent examples of these efforts include 1) training in SUPs to FAA employees and members of the aviation industry; 2) bid rigging detection and investigation training provided to state and Federal personnel; and 3) issuance of Management Implication Reports to DOT agencies whereby improper management or lack of internal controls have been identified during the course of an investigation. Additionally, the OIG will continue to be responsive to the requests made by external organizations. An example is the criminal investigations being conducted at the request of the acting Chairperson of the National Transportation Safety Board during FY 1992.

Accomplishments

The following table shows investigative results achieved in the last four Fiscal Years.

Table of Investigative Results

	FY 1989	FY 1990	FY 1991	FY 1992
Cases Pending	326	355	394	512
Cases Closed	187	197	235	246
Indictments	119	160	112	110
Convictions	92	139	117	90
Admin. Actions	216	159	116	155
Criminal Fines	$5,208,319	$4,071,716	$687,389	$264,626
Court Restitution Civil Judgments	$19,529,202	$20,532,899	$8,691,868	$2,046,245
Admin Recoveries Cost Avoidance	$2,467,438	$61,398,330	$2,888,277	$651,444

Hotline Complaint Center

The following table shows the disposition of Hotline complaints for Fiscal Years 1991 and 1992.

	FY 1991	FY 1992
No Action Required	125	99
Referred for Audit	64	40
Referred for Investigation	53	112
Referred to Program Management	187	215
Referred to Other Agencies	29	5
Total	458	471

OFFICE OF THE ASSISTANT INSPECTOR GENERAL FOR POLICY, PLANNING, AND RESOURCES
SUMMARY STATEMENT

Description

The AIGP is responsible for the executive direction of the Offices of (1) Policy and Procedures, (2) Planning and Resources, (3) Human Resources, and (4) Technical Support. The specific responsibilities related to the Inspector General Act of 1978, as amended, encompass providing policy direction for conducting, supervising, and coordinating audits, inspections/ evaluations, and investigations; reviewing proposed legislation and regulations; recommending policies to ensure Inspector General compliance with standards established by the Comptroller General for audits of Federal establishments, organizations, programs, activities, and functions; preparing semiannual reports summarizing the activities of the OIG for the 6-month periods ending March 31 and September 30; and performing quality assurance reviews of audit, inspection/ evaluation, and investigative offices. In addition, the organization provides strategic long-range planning and audit tracking systems for the OIG; provides data base management of the OIG's Management Information System (MIS); provides operation and maintenance of the mid-range computer system, Local Area Networks, and microcomputer hardware and software; provides budget and financial management support for the OIG; handles all general administrative functions; provides full personnel, training, and equal employment opportunity support to the OIG; and provides policy direction and technical support to all OIG offices.

The Office of the AIGP consists of the AIGP's immediate office, a Deputy AIGP, and four Headquarters offices.

BUDGET DATA

	FY 1993 Estimate	FY 1994 Estimate	Difference
Permanent Positions	39	37	-2
Full Time Equivalents	39	37	-2
Personnel Compensation and Benefits	$2,195,000	$2,279,000	$84,000
Total	$2,195,000	$2,279,000	$84,000

Change in Resources

The decrease in personnel represents the Office of Policy, Planning and Resources allocation of the OIG's position reduction directed in the February 10, 1993 Executive Order, "Reduction of 100,000 Federal Positions." The increase in personnel compensation is to annualize the FY 1993 pay raise and provide for merit pay increases. The increase in benefit costs is necessary to fully fund the benefits associated with these personnel compensation increases.

OBJECTIVES AND ACCOMPLISHMENTS

Office of the Assistant Inspector General for Policy, Planning, and Resources

The AIGP and Deputy AIGP manage, supervise, and direct all policy, planning and resource activities. The staff within this office has the responsibility for oversight of Headquarters operations of four offices and consists of the AIGP, Deputy AIGP and a clerical position.

Office of Policy and Procedures

The Office of Policy and Procedures is responsible for providing and maintaining audit, inspections/evaluations, investigative, and administrative policy and procedures; preparing the semiannual reports; conducting independent quality assurance reviews; maintaining the audit followup system for the Department; reviewing and commenting on proposed regulations, legislation and orders; and coordinating PCIE activities.

Positions By Functional Areas

	FY 1993 Estimate	FY 1994 Estimate
Policy and Procedures	1.5	1.0
Quality Assurance Reviews	1.5	1.0
Rulemaking, DOT Orders, Legislation, and Studies	1.0	1.0
Audit Follow-up and Report Resolution	1.0	1.0
Semiannual Reports	1.0	1.0
Management and Supervision	1.0	1.0
Clerical Support	1.0	1.0
Total	8.0	7.0

Objectives

Policy and Procedures

The Office of Policy and Procedures is responsible for formulating, developing, and maintaining updated audit, inspections/evaluations, and investigative policy as well as policies involving administrative matters. Specifically, this office develops a body of audit standards and procedures for the OIG that is consistent with the standards for audit of Governmental organizations, programs, activities, and functions prescribed by the Comptroller General. Additionally, this office ensures that quality inspection/evaluation and investigative standards and procedures are current and consistent with the professional standards for inspections/evaluations and investigations issued by the PCIE. These standards, policies, and procedures are established in the OIG "Operating Procedures Manual" (OPM) which is maintained, published, and distributed by this office.

Quality Assurance Reviews

The Office of Policy and Procedures is also responsible for formulating standards, policies, and procedures and maintaining a quality assurance program to ensure consistent quality OIG audits, inspections/evaluations, and investigations. Overall, quality assurance in the OIG encompasses the professional standards, current practices, and guidance in the OPM, supervisory reviews, and external reviews of Headquarters and regional offices. It is OIG policy that every audit, inspection/evaluation, and investigation will be a quality product that produces clear, convincing, balanced, and professional results in a timely manner. The goal is to conduct a quality assurance review of each OIG office once every 3 years. Further, GAO's revised "Government Auditing Standards" requires an external peer review of the OIG operations every 3 years. The objective of the external peer review is to determine that the OIG has established an effective quality assurance program. Establishing an effective quality assurance program within our office should limit the scope and thus, the amount of work required to be performed by the peer review.

Rulemaking, DOT Orders, Legislation, and Studies

The Office of Policy and Procedures reviews, coordinates with Audits, Inspections/Evaluations, and Investigations, and prepares IG responses regarding proposed and final rulemaking documents, DOT Orders, legislation, and DOT studies. Our review of proposed legislation and regulations is normally concerned with those aspects of the proposal which pertain to IG responsibilities and activities (e.g., prevention and detection of fraud, waste and abuse; the conduct of audits and investigations; access to pertinent records; etc.). The proposals are also reviewed to determine if internal controls are sufficient and appropriate measures are included to promote economy, efficiency, and effectiveness and prevent fraud, waste and abuse.

Audit Follow-up and Report Resolution

The Office of Policy and Procedures is responsible for maintaining and updating a centralized data base to assist OIG and Departmental management in monitoring (1) the resolution of disagreements involving IG audit findings and recommendations and (2) the completion of corrective action once audit resolution has been achieved. Monthly reports are provided by the office to the OIG and Departmental officials regarding the status of unresolved audits. The Inspector General Act Amendments of 1988 place additional responsibilities on the OIG to follow-up on recommendations made in audit reports to ensure that corrective actions are taken and savings are achieved. As a result of these Amendments, this office is required to review all final action reports prepared on report recommendations to ensure proper action was taken or resolve any differences if the final action is not consistent with the previously agreed to decision. This follow-up process was previously performed monthly, but is now a continuous process.

Semiannual Reports

The Office of Policy and Procedures prepares the Semiannual Reports to Congress in accordance with P.L. 95-452, as amended. This involves coordinating with other OIG offices, summarizing OIG major audit and inspections/evaluations accomplishments, highlighting selected significant findings and recommendations, and providing a follow-up summary of unresolved recommendations over 6 months old. Also involved is the statistical overview of operations, results of reactive investigations, proactive projects and the disposition of hotline complaints, plus summaries of OIG responses to legislative reviews.

Accomplishments

During this past year, the Office of Policy and Procedures: (1) reviewed and updated one-third of the OPM; (2) issued five quality assurance reports; (3) reviewed 541 documents regarding proposed and final rulemakings, DOT Orders, legislation and DOT studies, and responded with written comments on 73 of them; (4) prepared and issued the Semiannual Reports to Congress dated March 31, 1992 and September 30, 1992; (5) submitted 12 articles for the PCIE publication Frontline, and provided input to and commented on numerous PCIE questionnaires, studies and other documents; (6) reviewed 151 internal audit reports, and assisted audit offices in identifying and adjusting erroneous dollar savings of over $80 million; and (7) closed 2,306 audit recommendations.

Office of Planning and Resources

The Office of Planning and Resources is responsible for providing the OIG with a long-range strategic plan, preparing and executing the OIG budget, providing financial services, and providing administrative services support to the OIG.

Positions By Functional Areas

	FY 1993 Estimate	FY 1994 Estimate
Long-Range Planning	1.0	1.0
Budget and Financial	3.0	3.0
Administrative Services	4.0	4.0
Clerical Support	1.0	1.0
Management and Supervision	1.0	1.0
Total	10.0	10.0

Objectives

Long-Range Planning

The Office of Planning and Resources is responsible for developing and maintaining a long-range strategic plan to ensure that OIG audits, inspections/evaluations, and proactive investigations address current transportation issues and are responsive to departmental needs. This process involves the continual analysis of Operating Administration budgets to develop key issue areas for OIG concentration; periodic reevaluation of departmental management and operating trends in order to identify new issues for OIG coverage or restructuring of existing issue areas as priorities shift; and development of multiyear OIG resource requirements that will be necessary to provide coverage for these issues. Initial efforts are underway for developing a long-range strategic plan. Information will be gathered for a data base on operating administration areas of interest. Major efforts will be devoted to this area, and we are participating in the Department's efforts under the National Transportation Policy (NTP) to integrate the Department's budget process with policy/planning efforts. The results will help us identify areas for audit, inspections/evaluations, and investigative emphasis in future years. The long-range planning function also is responsible for maintaining the audit universe and tracking systems for Departmental programs, protective audits, and imprest fund audits. These responsibilities include periodic updates and refinements to the universe.

Budget and Financial

All OIG budget matters are the responsibility of the Office of Planning and Resources. As the focal point for budget requirements, this office prepares the OIG budget submissions to OST, OMB, and Congress with all appropriate supporting materials; prepares and coordinates materials for all budget hearings; implements budget and financial policy; prepares apportionments/reapportionments, allotments and requests for Treasury Warrants, as appropriate; ensures quarterly obligational authority is not exceeded; certifies fund availability; maintains commitment/obligation/expenditure records; and represents the OIG on all budget and resources matters.

Administrative Services

The Office of Planning and Resources provides administrative services to the OIG. These responsibilities include arranging and/or acquiring all required services, furniture, and equipment for all OIG staff in 19 locations, nationwide; maintaining the OIG's equipment inventory; issuing permanent change of station orders and reviewing voucher payments; implementing travel policy; developing OIG administrative policies and conducting studies; conducting space management activities; arranging for office moves and telephones; issuing OIG credentials, telephone credit cards, Diner's Club cards, and security clearances; and handling Privacy Act matters.

Accomplishments

During FY 1992, the Office of Planning and Resources processed 446 procurement requests, including those for imprest funds and blanket purchase authority, and 1,631 invoices were certified for payment by OST Accounting.

Early in FY 1992, we provided year-end close-out reports and analyses for FY 1991, and presented the final FY 1992 budget amounts for execution. We also attended the OMB FY 1993 Budget Hearing, completed OMB passback requirements, and prepared the FY 1993 Budget for presentation to Congress. In February 1992, we attended the House and Senate Appropriations Hearings for FY 1993 and responded to 127 and 67 questions, respectively, for the record. In addition we issued the first General Accounting Office (GAO) Audit Universe which lists GAO documents relating to DOT issues.

Also, the OIG conducted a study to identify alternatives for obtaining needed accounting services. The study identified several sources of accounting services and concluded that obtaining accounting services from FAA would result in the largest cost savings for the OIG--$115,000 annually. As a result, the OIG is currently working with the FAA to transfer the OIG accounting services to the Monroney Aeronautical Center in Oklahoma City. This transfer is currently estimated to be completed by the end of March 1993.

Office of Human Resources

The Office of Human Resources is responsible for providing and maintaining an independent personnel function including independent appointment and operating authorities, recruitment, position classification, position management, employee relations, employee development and training, and administration of the OIG's Equal Employment Opportunity (EEO) Program and associated special emphasis programs.

Positions By Functional Areas

	FY 1993 Estimate	FY 1994 Estimate
Staffing, Recruitment, Classification, Employee Relations, and Performance Management	4.5	4.0
Employee Processing, Pay and Benefits	1.5	1.0
Training	2.0	2.0
Clerical Support	1.0	1.0
Management and Supervision	1.0	1.0
Total	10.0	9.0

Objectives

Staffing, Recruitment, Classification, Employee Relations, and Performance Management

The Office of Human Resources is responsible for developing, implementing, and evaluating all policies, procedures, and instructions for each of the functional areas. In addition, this office provides a wide range of recruitment and staffing activities, including on-campus and job fair recruitment, special emphasis recruitment, Office of Personnel Management certification, and Merit Promotion Plan advertisements. Classification responsibility includes establishing new positions, accurately describing all current positions, ensuring pay is in direct alignment with duties performed, determining career ladders, and providing position management advice. Employee relations responsibilities include both the awards program and the counseling/disciplinary program. In the latter area, advice is provided to supervisors and managers on the appropriate handling of conduct problems. Responsibility for the Performance Management Program includes assisting supervisors and managers in writing performance standards, instructing them and their employees in performance management processes and procedures, and monitoring progress reviews and end of the year reviews.

Employee Processing, Pay and Benefits

The Office of Human Resources ensures all OIG employees receive accurate and timely pay checks; processes benefit elections and/or changes; and processes all other changes in an employee's status, such as tenure, salary, awards, and retirement.

Training

The training program includes an Individual Development Plan Process and provides a minimum of 40 hours of training for each employee each year. Training includes on-the-job training, formal classroom training, continuing education, and professional certification review courses. In addition, a training matrix provides guidance on appropriate training at each grade level for auditors and investigators.

The FY 1994 proposal provides for the maintenance of the work force and a comprehensive Human Resources Management Program for the OIG. Improvements in the present program for personnel administration are not only dictated by the express needs of the current work force but also by the dynamics of the labor market emerging in the 1990s.

For the Federal employer to have a competitive advantage in an increasingly tight national labor market, that employer must offer within its basic program everything the Federal system contemplates or will allow. It needs a comprehensive Human Resources Management Program to ensure quality in employee recruitment, development, and retention programs. This includes the creation of dynamic, forward looking affirmative action and recruitment programs which will allow for the OIG's presence on campuses and for reaching target populations through advertising in selected media.

Accomplishments

During this past year the Office of Human Resources worked with management in establishing a major new component, the Office of the AIGE, which includes the AIGE and Deputy AIGE and their staffs and Regional Inspections and Evaluations Offices.

A Suggestions Program was developed and implemented. The Program is designed to encourage employees to contribute job/organizational improvement ideas, reduce response time, and ensure fair evaluation and implementation of the suggestion in a timely manner. In addition to strengthening employee morale, the primary reason for having such a program is to achieve cost savings and organizational improvements. The Program assumes that it is in management's interest to encourage the submission of beneficial ideas by fairly and promptly evaluating all suggestions, clearly explaining reasons for not adopting suggestions, and providing recognition for any benefits that result from adopted suggestions.

The Upward Mobility Program was developed to provide selected lower level OIG employees an opportunity to be assigned to specifically-designed bridge or trainee positions which, through experimental assignments and selected courses, will prepare them to enter the OIG's technical, administrative, or professional positions. Four employees were selected under this program to fill auditor, computer specialist, personnel management specialist, and financial management specialist vacancies.

The OIG implemented OIG-wide a compressed work schedule (CWS) using the 5/4/9 Plan, with Fridays and Mondays as the regular days off. This CWS has flexible time bands whereby employees are allowed to select their work hours, subject to supervisory approval, on a scheduled basis within specified starting and ending periods. Employees have a 9-hour day for 8 days of the biweekly pay period and an 8-hour day for the ninth day to complete the basic work requirement of 80 hours per biweekly pay period.

The OIG established an accelerated promotion program to help attract and retain highly qualified candidates for the GS-511 Auditor series. This program provides for accelerated promotions from GS-5 to GS-7 for each eligible auditor participating in the program. It allows the OIG to credit specialized experience at a 2:1 ratio and thereby waive the normal time-in-grade requirements for participating employees. We believe this program will be of significant value in helping the OIG attract and retain highly qualified auditors and will have a positive impact on such areas as workforce diversity and special emphasis programs.

The OIG presented mandatory EEO and Sexual Harassment Training to all Headquarters staff, Regional Audit Managers, and Special Agents-in-Charge. The purpose of the training was to eliminate practices and conditions associated with discrimination and illegal conduct which will better enable the OIG to deal with any such problems.

Office of Technical Support

The Office of Technical Support is responsible for providing policy direction and implementation of the technical support functional areas, including: operating and maintaining the OIG's mid-range computer system and associated communications networks; installing, configuring, and maintaining the OIG's Local Area Network (LAN) Systems; operating and maintaining the Data Base Systems included within the OIG's Management Information System (MIS); initiating procurements, and installing and maintaining all OIG information technology resources; and developing and updating the OIG's Information Resources Management (IRM), and Computer Security plans, and serving as the OIG's Computer Security Office.

Positions By Functional Areas

	FY 1993 Estimate	FY 1994 Estimate
Enterprise Systems	1.0	1.0
LAN Systems	1.0	1.0
Data Base Systems	2.0	2.0
Microcomputer User Support	2.0	2.0
Clerical Support	1.0	1.0
Management and Supervision (including IRM and Computer Security planning)	1.0	1.0
Total	8.0	8.0

Objectives

Enterprise Systems

The Enterprise Systems functional area provides computing support to the entire OIG. Specific duties include maintenance and operation of the hardware and systems software which are the foundation of the OIG's computing environment. The hardware component includes the mid-range processor and related peripheral equipment. The systems software component includes the basic operating system, communications, security, and utilities software which support the basic applications software components used by all OIG staff, and provide communications links to Departmental mainframe computers used for Audit, Inspection/Evaluation, and Investigative assignments.

LAN Systems

The LAN Systems functional area is responsible for the installation, configuration, maintenance and support of the OIG's LANs, including hardware, software, and communications links. This includes the LANs in Headquarters and the regional offices, and the interconnecting communications networks. The LAN management staff provides operational monitoring, and trouble shooting of the LAN environment including the operational status and performance of all hardware, software, and communications components. In addition, the LAN Manager, as a Communications Specialist, provides technical assistance support to Audit, Inspection/Evaluation, and Investigative staff on assignments involving Data and Telecommunications issues.

Data Base Systems

The Data Base Systems functional area is responsible for maintenance and support of the OIG's MIS. The MIS provides operational and management information on OIG operations in the Audit, Inspection/ Evaluation, Investigative, and Administrative areas. This function includes the design and implementation of major MIS enhancements and the addition of new functions within the MIS. Ad-hoc reporting, Executive Information Systems' requests, and the production of statistics for the semiannual reports to Congress are also performed within this functional area.

Microcomputer Users Support

The Microcomputer Users Support functional area is responsible for assisting in the use of the OIG's Audit, Inspections and Evaluations, and Investigation Computer Integration System (AICIS) microcomputer hardware and software. This staff functions as the central help desk for all problems associated with the use and maintenance of the desktop and portable microcomputers and software in the OIG. The staff also initiates and updates written policies, procedures, and documentation for support of the microcomputers, software, and other information technologies in the OIG. The information resources training function is another major responsibility, which includes instruction in the use of the MIS, microcomputer hardware and software, LANs and network management, and the mid-range computer's Professional Office System software.

IRM and Computer Security Planning

The IRM and Computer Security planning functional area is the responsibility of the Office Director who prepares the OIG's annual short- and long-range ADP, Communications, and Computer Security plans required by various Federal laws, and OMB and departmental regulations. These plans are submitted to the OIG's IRM Executive Steering Committee which finalizes the plans and transmits them for inclusion in the Department's plans. In addition, the Office Director is responsible for initiating all information resources procurement requests and for implementing Computer Security requirements that are consistent with these plans.

Accomplishments

During this past year, the Office of Technical Support made major strides forward in the automation of the OIG. The most significant accomplishments are described below.

The OIG installed a communications software enhancement to its on-line computer environment which allows regional office users to print directly from the OIG's mid-range processor in Headquarters to their locally-attached microcomputer printers. This improvement enables a regional office user to locally print electronic mail messages, his/her calendar, and other files stored on the mid-range computer system.

The OIG purchased and installed 112 new microcomputers. This additional equipment reduced the 1.6 to 1 ratio of staff members to microcomputers to 1.2 to 1 across the OIG.

The OIG completed installation of a basic LAN in Headquarters. This network interconnects 150 desktop workstations by providing print and file sharing capabilities. In addition, the network also provides those workstations access to the OIG's mid-range computer system.

The OIG also completed the installation of fire and smoke detectors in the mid-range computer room which are tied into the building security providing 24 hour monitoring.

Office of
INSPECTOR GENERAL

SUMMARY REPORT ON DEPARTMENTWIDE AUDIT OF CONTRACTED ADVISORY AND ASSISTANCE SERVICES

FISCAL YEAR 1991

REPORT NUMBER: AV-OT-2-034
DATE ISSUED: August 25, 1992

U.S. Department of Transportation
Office of the Secretary of Transportation

Summary Report on Departmentwide Audit of Contracted Advisory and Assistance Services
Fiscal Year 1991
Report No. AV-OT-2-034

RESULTS IN BRIEF

Conclusion(s)

The Department of Transportation (DOT) has adequate written procedures on the use of contracted advisory and assistance services as well as documentation of its determinations of whether or not contractual activities were for such services. Eight of the ten Operating Administrations made proper determinations in classifying and reporting contractual activities in accordance with the definitions in the Office of Management and Budget Circular No. A-120. The remaining two Operating Administrations (the Federal Aviation Administration and the Office of the Secretary) made minor errors in their reported data.

Recommendation(s)

The reports issued to the Operating Administrations contained appropriate recommendations. Therefore, no recommendations are made in this report.

Management Position

Since this report contains no recommendations, a response under DOT Order 8000.1C is not required.

U.S. Department of Transportation
Office of the Secretary of Transportation

Office of Inspector General

Memorandum

Subject INFORMATION: Summary Report on Departmentwide Audit of Contracted Advisory and Assistance Services Report No. AV-OT-2-034

Date August 25, 1992

Raymond J DeCarli

From Raymond J. DeCarli
Assistant Inspector General for Auditing

Reply to Attn of JA-20:366-4165

To Assistant Secretary for Administration

I. INTRODUCTION

This is our summary report on the Departmentwide audit of contracted advisory and assistance services (CAAS). Separate audit reports containing appropriate recommendations were issued to each Operating Administration (see exhibit A). The objectives of the audit were to evaluate the Department of Transportation's (DOT) progress in establishing effective management controls and improving the accuracy and completeness of information on CAAS provided to the Federal Procurement Data System (FPDS). The audit was also a review of the implementation of the Office of Management and Budget (OMB) Circular No. A-120, "Guidelines for the Use of Advisory and Assistance Services."

Background

OMB Circular No. A-120 establishes policy, assigns responsibilities, and sets guidelines to be followed by executive branch agencies in determining and controlling the use of advisory and assistance services obtained by contract from individuals and organizations. The agencies are to ensure such services are appropriate and necessary and are reported to the FPDS. The circular was revised on January 4, 1988, to expand its coverage from consulting services to advisory and assistance services. Advisory and assistance services are defined in the current revision as those which support or improve agencies' policy development, decisionmaking, management, and administration, or support or improve the operation of management systems. The services may take the form of information, advice, opinions, alternatives, conclusions, recommendations, training, and direct assistance. The provisions of the revised circular were included in DOT Order 4200.15A on September 6, 1989.

Title 31, United States Code, Section 1114, requires the Inspectors General (IG) to make annual evaluations of the progress that agencies are making to improve the accuracy of the FPDS and to control the use of advisory and assistance services obtained by contract. The results of the IGs' reviews are to be included in the agencies' annual budget submissions.

Scope

The audit covered 2,948 contracts, modifications, and task orders (contractual activities), valued at $898.4 million, which were issued by DOT during Fiscal Year (FY) 1991 with product and service codes which may include CAAS activities. Product and service codes, established by the Office of Federal Procurement Policy, OMB, define the types of services or products to be obtained under each contract. We judgmentally selected and reviewed 277 of the 2,948 contractual activities, valued at $187.5 million, to determine whether management controls and procedures were in accordance with OMB Circular No. A-120. The controls include approval, justification, work statement, competitive procurement, conflict of interest warning, and performance monitoring and evaluation. We also reviewed the contractual activities to determine whether management controls were adequate to assure those services meeting the definitions of the circular were properly coded and reported in DOT's Contract Information System (CIS) and the FPDS.

The Operating Administrations included in the review were the Office of the Secretary (OST), Federal Aviation Administration (FAA), Federal Highway Administration (FHWA), Federal Railroad Administration (FRA), Federal Transit Administration (FTA), Maritime Administration (MARAD), National Highway Traffic Safety Administration (NHTSA), Research and Special Programs Administration (RSPA), St. Lawrence Seaway Development Corporation (SLSDC), and U. S. Coast Guard (USCG). The audit was performed in accordance with "Government Auditing Standards" prescribed by the Comptroller General and included a review of such policies, procedures, records, reports, and other documents as considered necessary in the circumstances.

Prior Audit Coverage

We issued 10 reports on audits of CAAS, which covered contractual activities during FY 1990.

Report No.	Date
AV-SL-1-009	Jan. 22, 1991
AV-FR-1-010	Jan. 28, 1991
AV-UM-1-013	Feb. 11, 1991
AV-MA-1-015	Feb. 22, 1991
AV-FH-1-017	Mar. 20, 1991
AV-CG-1-018	Mar. 26, 1991
AV-RS-1-021	May 15, 1991
AV-OT-1-022	May 21, 1991
AV-NH-1-023	May 22, 1991
AV-FA-1-035	Sept. 16, 1991

Seven of the reports contained no recommendations. We found no problems during our audits of SLSDC, FRA, MARAD, FHWA, and OST. At FTA (previously the Urban Mass Transit Administration) and USCG, we found only minor problems in the classification and reporting of contractual activities for which the Administrations initiated corrective action. Therefore, no recommendations were necessary. Recommendations were made to RSPA and FAA regarding the correct coding and reporting of contractual activities as CAAS. At NHTSA, although all the contractual activities we reviewed were correctly coded as non-CAAS, all the FY 1990 contractual activities issued by NHTSA had not been included in the CIS. We recommended NHTSA ensure contractual activities meeting the CIS reporting requirements are entered into the system. During our current review, we determined that appropriate corrective actions had been taken. The results of the audits were summarized in Report Number AV-OT-2-001, dated October 18, 1991, addressed to the Assistant Secretary for Administration. Because appropriate recommendations were addressed to the Operating Administrations and no issues of Departmentwide policy were raised, we did not make any recommendations in the summary report.

II. RESULTS OF AUDIT

The Operating Administrations have adequate written procedures on the use of CAAS as well as documentation of their determinations of whether or not contractual activities were for such services.

Eight of the ten Operating Administrations made proper determinations in classifying and reporting contractual activities in accordance with the definitions in OMB Circular No. A-120. The remaining two Operating Administrations made minor or clerical errors and did not accurately code and report all contractual activities in accordance with the definitions of the OMB circular. From our sample of 277 contractual activities, valued at $187.5 million, the Operating Administrations reported 30 contractual activities, valued at $8.86 million, as CAAS. We determined 34 contractual activities, valued at $12.11 million, met the circular's definition of CAAS. The difference is comprised of five contractual activities incorrectly reported as non-CAAS and one incorrectly reported as CAAS. A schedule of reports issued to Operating Administrations for FY 1991 CAAS activity is included in exhibit A, a summary of CAAS activity in each administration is included in exhibit B, and the problems noted in the administrations are identified in exhibit C.

Two Operating Administrations, FAA and OST, miscoded, omitted, and incorrectly reported five contractual activities, valued at $3.42 million, as non-CAAS (see exhibit C). FAA reported 57 of the 70 contractual activities we reviewed, valued at $63.0 million, in the CIS and the FPDS as non-CAAS. FAA miscoded and incorrectly reported 3 of the 57 contractual activities, valued at $3.11 million, as non-CAAS. FAA disagreed with our determinations that these activities met the definition of CAAS in the circular (see note 1 to exhibit C). One OST contract modification, valued at $201,355, was reported as non-CAAS, although it met the definition of CAAS. The basic contract did not meet the definition of CAAS and was correctly reported as non-CAAS. Since the CIS and the FPDS contain no provision for modifications to be separately coded and reported, the OST contractual activity cannot be reported in the CIS as CAAS (see note 2 to exhibit C). In addition, OST did not report one contractual activity, valued at $107,826, which met the definition of CAAS in the CIS and the FPDS (see note 3 to exhibit C). This error was corrected during our review.

FAA incorrectly coded one contractual activity, valued at $171,258, as CAAS (see note 2 to exhibit B). This error was also corrected during our review. Additionally, OST did not enter nine non-CAAS contractual activities, valued at $1,807,921, in the CIS, but agreed to do so when the omissions were brought to their attention.

III. ACTION REQUIRED

Since the reports issued to the Operating Administrations contained appropriate recommendations, we are making no recommendations in this report. Therefore, a response under DOT Order 8000.1C is not required.

The cooperation extended by your staff and the staffs of the Operating Administrations during the audits is appreciated.

#

Exhibit A

SCHEDULE OF REPORTS ISSUED FOR FY 1991 CAAS ACTIVITIY

DEPARTMENTAL ADMINISTRATION	REPORT NO.	DATE
SLSDC	AV-SL-2-012	March 2, 1992
USCG	AV-CG-2-018	April 15, 1992
MARAD	AV-MA-2-019	April 20, 1992
OST	AV-OT-2-020	May 21, 1992
FRA	AV-FR-2-021	May 22, 1992
FTA	AV-FT-2-022	May 22, 1992
FHWA	AV-FH-2-023	June 8, 1992
NHTSA	AV-NH-2-024	June 22, 1992
RSPA	AV-RS-2-027	July 9, 1992
FAA	AV-FA-2-030	July 23, 1992

Exhibit B

Summary of CAAS Activity by Departmental Administration Fiscal Year 1991

DEPARTMENTAL ADMINISTRATION	OIG SAMPLE SIZE	OIG SAMPLE VALUE	CAAS REPORTED BY DOT ACTIONS	CAAS REPORTED BY DOT VALUE	CAAS DETERMINED BY OIG ACTIONS	CAAS DETERMINED BY OIG VALUE
SLSDC	5	$213,385	0	0	0	0
USCG	30	3,400,000	1	$98,719	1	$98,719
MARAD	24	13,100,000	3	4,800,000	3	4,800,000
OST	16	3,036,322	1	81,855	3	391,036 1/
FTA	19	13,200,000	7	1,163,469	7	1,163,469
FRA	19	3,626,560	2	89,785	2	89,785
FHWA	34	17,400,000	0	0	0	0
NHTSA	25	9,200,000	2	99,449	2	99,449
RSPA	35	58,821,466	1	27,000	1	27,000
FAA	70	65,500,000	13	2,500,000	15	5,440,496 2/
TOTAL	277	$187,497,733	30	$8,860,277	34	$12,109,954

1/ Includes one contractual activity, valued at $107,826, originally omitted from the CIS and one contractual activity, valued at $201,355, that was reported as non-CAAS by OST.

2/ Includes three contractual activities, valued at $3,111,754, reported by FAA as non-CAAS and one contractual activity, valued at $171,258, reported as CAAS although it was non-CAAS.

Exhibit C
(2 Pages)

CONTRACTUAL ACTIVITIES DETERMINED TO BE CAAS BY OIG BUT NOT PROPERLY CODED AND REPORTED FY 1991

CONTRACT NUMBER FAA	AMOUNT	DESCRIPTION FROM STATEMENT OF WORK
DTFA01-86-Y-01024, Mod. 20	$841,867 1/	To provide oversight and management support services of the National Airspace System Plan System Engineering Integration (SEI) contract to protect the interest of FAA.
DTFA01-86-Y-01024, Mod. 22	1,358,133 1/	To provide oversight and management support services of the National Airspace System Plan SEI contract to protect the interest of FAA.
DTFA01-86-Y-01024, Mod. 23	911,754 1/	To provide oversight and management support services of the National Airspace System Plan SEI contract to protect the interest of FAA.
Total FAA	$3,111,754	

1/ Contract modification was coded as non-CAAS. FAA officials did not agree with our determinations.

Exhibit C

CONTRACT NUMBER OST	AMOUNT	DESCRIPTION FROM STATEMENT OF WORK
DTOS59-90-C-00162, Mod. 18	$201,355 [2]	To provide technical assistance to USC in developing the Commercial Space Program.
DTOS59-90-C-00189, Mod. 3	$107,826 [3]	To form an advisory panel to evaluate the structure of DOT, identify key organiza-tional issues, and prepare a report containing conclusions and recommendations.
Total OST	$309,181	
Total	$3,420,935	

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[2] Contract modification was coded as non-CAAS. OST officials agreed with our determination. However, the basic contract was correctly reported as non-CASS and the coding for this action cannot be changed in the CIS because the CIS contains no provision for separately coding modifications.

[3] Contract modification was omitted from the CIS. OST entered this modification during our review.

LIST OF ACRONYMS

ADA	Americans with Disabilities Act
ADP	Automatic Data Processing
ADPE	Automatic Data Processing Equipment
AICIS	Audit and Investigation Computer Information System
AIG	Assistant Inspector General
AIGA	Assistant Inspector General for Audit
AIGE	Assistant Inspector General for Inspections and Evaluations
AIGI	Assistant Inspector General for Investigations
AIGP	Assistant Inspector General for Policy, Planning and Resources
ATA	Air Traffic Assistants
AUO	Administratively Uncontrollable Overtime
CFO	Chief Financial Officer
CORN	Computer Resources Nucleus
CUPS	Consolidated Uniform Payroll System
CWS	Compressed Work Schedule
DAFIS	Departmental Accounting and Financial Information System
DBE	Disadvantaged Business Enterprise
DCAA	Defense Contract Audit Agency
DCIS	Defense Criminal Investigative Service
DOD	Department of Defense
DOJ	Department of Justice
DOT	Department of Transportation
EAS	Essential Air Service
EDS	Electronic Data Systems
EEO	Equal Employment Opportunity
ETAMS	Electronic Time and Attendance Management System

FAA	Federal Aviation Administration
FBI	Federal Bureau of Investigation
F&E	Facilities and Equipment
FECA	Federal Employee's Compensation Act
FERS	Federal Employees Retirement System
FHWA	Federal Highway Administration
FMFIA	Federal Managers' Financial Integrity Act
FRA	Federal Railroad Administration
FSDO	Flight Standards District Office
FTA	Federal Transit Administration
FTE	Full-Time Equivalent
FTP	Full-Time Permanent
FTS	Federal Telecommunications System
FWPC	Federal Women's Program Coordinator
FY	Fiscal Year
GAO	General Accounting Office
GM	Merit Pay
GSA	General Services Administration
HHS	Department of Health and Human Services
IG	Inspector General
IPPS	Integrated Personnel Payroll System
IRM	Information Resources Management
IRS	Internal Revenue Service
ISTEA	Intermodal Surface Transportation Efficiency Act
LAN	Local Area Network
LNM	Local Notice to Mariners
MARAD	Maritime Administration
MIS	Management Information System

MMAC	Mike Monroney Aeronautical Center
NBIS	National Bridge Inspection Standards
NHTSA	National Highway Transportation Safety Administration
NTP	National Transportation Policy
NWA	Northwest Airlines
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPBAT	Operation Bahamas, Turks, and Caicos Islands
OPM	Operating Procedures Manual
OST	Office of the Secretary of Transportation
OTFTP	Other than Full-Time Permanent
PC&B	Personnel Compensation and Benefits
PCIE	President's Counsel on Integrity and Efficiency
PCS	Permanent Change of Station
PMTS	Payments
RRF	Ready Reserve Fleet
REPROD	Reproduction
RSPA	Research and Special Programs Administration
SAC	Special Agent-in-Charge
SES	Senior Executive Service
SUP	Suspected Unapproved Parts
USCG	United States Coast Guard
WCF	Working Capital Fund

NEW ODD PAGE

U.S. Department of
Transportation

BUDGET ESTIMATES

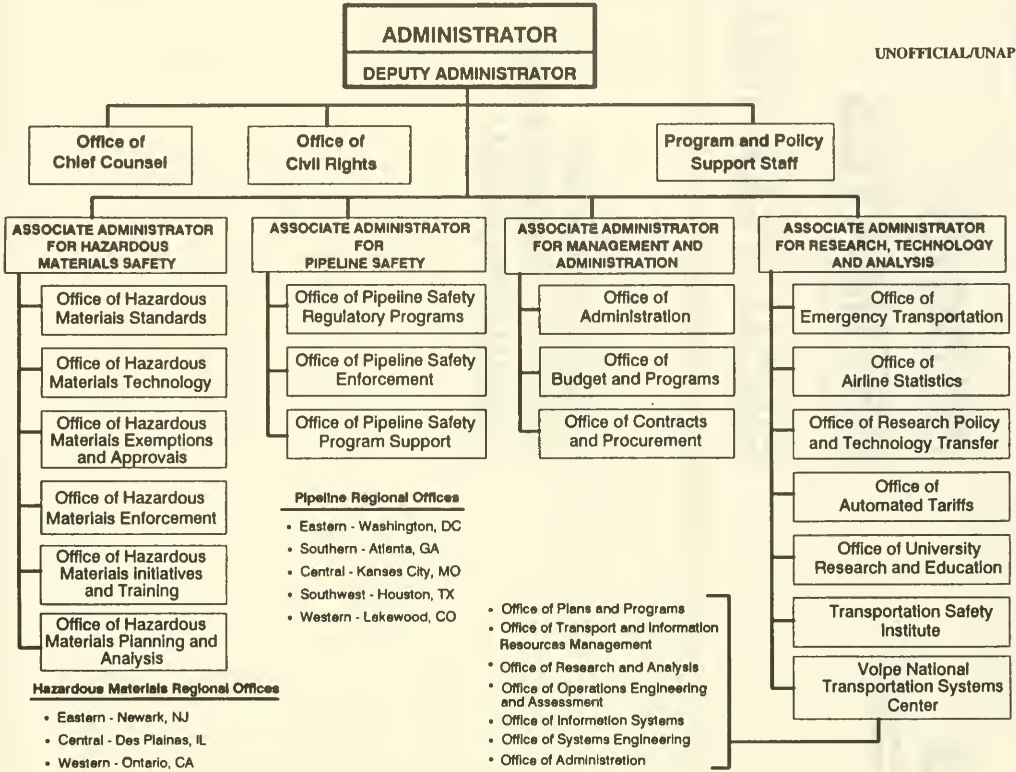
FISCAL YEAR 1994

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

UNOFFICIAL/UNAPPROVED



- ADMINISTRATOR
- DEPUTY ADMINISTRATOR
  - Office of Chief Counsel
  - Office of Civil Rights
  - Program and Policy Support Staff
  - ASSOCIATE ADMINISTRATOR FOR HAZARDOUS MATERIALS SAFETY
    - Office of Hazardous Materials Standards
    - Office of Hazardous Materials Technology
    - Office of Hazardous Materials Exemptions and Approvals
    - Office of Hazardous Materials Enforcement
    - Office of Hazardous Materials Initiatives and Training
    - Office of Hazardous Materials Planning and Analysis
  - ASSOCIATE ADMINISTRATOR FOR PIPELINE SAFETY
    - Office of Pipeline Safety Regulatory Programs
    - Office of Pipeline Safety Enforcement
    - Office of Pipeline Safety Program Support
  - ASSOCIATE ADMINISTRATOR FOR MANAGEMENT AND ADMINISTRATION
    - Office of Administration
    - Office of Budget and Programs
    - Office of Contracts and Procurement
  - ASSOCIATE ADMINISTRATOR FOR RESEARCH, TECHNOLOGY AND ANALYSIS
    - Office of Emergency Transportation
    - Office of Airline Statistics
    - Office of Research Policy and Technology Transfer
    - Office of Automated Tariffs
    - Office of University Research and Education
    - Transportation Safety Institute
    - Volpe National Transportation Systems Center
      - Office of Plans and Programs
      - Office of Transport and Information Resources Management
      - Office of Research and Analysis
      - Office of Operations Engineering and Assessment
      - Office of Information Systems
      - Office of Systems Engineering
      - Office of Administration

Hazardous Materials Regional Offices

- Eastern - Newark, NJ
- Central - Des Plaines, IL
- Western - Ontario, CA

Pipeline Regional Offices

- Eastern - Washington, DC
- Southern - Atlanta, GA
- Central - Kansas City, MO
- Southwest - Houston, TX
- Western - Lakewood, CO

U. S. DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
FY 1993 BUDGET SUBMISSION

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RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

FY 1994 BUDGET SUBMISSION
TO THE
COMMITTEES ON APPROPRIATIONS

GENERAL STATEMENT

The Research and Special Programs Administration (RSPA) is requesting $59 million to address several challenging transportation missions. RSPA is a good investment. For many years, RSPA's diverse programs have delivered important transportation research products and have contributed significantly to improvements in transportation safety.

Unique within the Department of Transportation, RSPA has a multimodal perspective that is essential for solving the transportation challenges of the future. Indeed, RSPA is engaged in some of these activities today. RSPA has taken a leadership role harmonizing international rules for transporting hazardous materials. RSPA serves as a mechanism and focal point for information exchange and avoidance of duplication in the application of global positioning system technology to the civilian sector. RSPA's budget request reflects the Secretary's emphasis on investments for the future.

Over the past few years, the range and technical complexity of RSPA's responsibilities have expanded significantly. This trend is expected to extend beyond FY 1994, when the jurisdictions of RSPA's programs will include major, previously unregulated segments of the hazardous materials and pipeline industries, and increased concern for environmental protection. Throughout FY 1994, RSPA will continue to provide critical services for the Department, including development of airline traffic and financial data, coordination of R&D policy and budgets, management of the university transportation research program, and direction of emergency transportation activities. In concert with our sponsors, RSPA will develop and evaluate advanced, multimodal transportation technologies at the Volpe National Transportation Systems Center. RSPA's FY 1994 budget recognizes these challenges, and builds upon the agency's recent accomplishments to address them.

RECENT ACCOMPLISHMENTS

The Office of Hazardous Materials Safety (OHM) published the Final Rule requiring certain shippers and carriers of hazardous materials to register with the Department and pay certain fees. The fee collection will finance the Hazardous Materials Emergency Preparedness grants announced in September, 1992. These grants, to be distributed in the spring of 1993, will improve transportation safety and benefit 1.7 million State and local emergency response personnel. To enhance environmental protection, OHM published rules to improve the transportation of marine pollutants by all modes, pursuant to international treaty, and to require emergency response preparation for oil spills under the Oil Pollution Act of 1990. Other initiatives underway in hazardous materials safety include a rule covering the intrastate shipments of hazardous materials and a rule covering the safe transportation of food products.

To provide an analytical base to assess all safety and environmental risk, the Office of Pipeline Safety (OPS) developed the first generation of a model to prioritize issues and assign resources for solutions. OPS is using the model to develop an implementation scheme to address the numerous mandates of its recent reauthorization legislation, including consideration of environmental factors in all pipeline safety activities. OPS developed regulations as the basis for implementing Title IV of the Oil Pollution Act of 1990, pertaining to the review and approval of onshore oil pipeline spill response plans prepared by industry operators. OPS began to base State pipeline safety grant allocations on the demonstrated efforts of States to improve the productivity and accountability of their own intrastate pipeline safety programs.

In line with our multimodal perspective and research expertise, RSPA has reviewed Departmental research proposals through a formal R&D management process to assist in the Department's R&D budget development. This process has helped to streamline R&D requests and reduce unnecessary duplication across modal agencies. RSPA has assumed responsibility for a University Transportation Research program, awarded grants to ten regional and three national University Transportation Centers, and established five University Research Institutes. RSPA arranged civilian transportation logistics for the victims of Hurricane Andrew. Major agency priorities for FY 1994 are described below.

FY 1994 HIGHLIGHTS

RSPA expects both continuity and new challenges in its workload during FY 1994. RSPA's overall budget request is $59.1 million, a $9 million increase over the FY 1993 enacted appropriation. The majority of this increase includes $4.7 million for increased emergency preparedness grants to states and Native American tribes, and $2.6 million for oil spill response activities mandated by the Oil Pollution Act of 1990. Both activities support increased awareness and concern for the environmental consequences of oil and other hazardous materials spills.

RSPA is requesting $29.7 million for transportation safety programs, $20.5 million for challenges in environmental protection and mitigation, and $8.9 million for transportation research and technology.

Reductions to Workyears (FTE) and Administrative Costs

One of the major management challenges facing RSPA is supporting the President's goal to reduce the size of the Federal Government by reducing both FTE and administrative costs. RSPA's FY 1994 budget request for 857 FTE reflects a reduction of 5 FTE from the RSP account and 2 FTE from the Pipeline Safety account. Also, RSPA has cut $325 thousand in administrative costs from the RSP account in response to the President's goals.

Pipeline Safety

RSPA is requesting $18.9 million for Pipeline Safety. This request includes funding to enable RSPA to begin addressing the numerous mandates of the Pipeline Safety Act of 1992. In addition, the request also includes $2.6 million from the Oil Spill Liability Trust Fund for a new RSPA program to review and approve spill response plans for oil pipeline operators, mandated by the Oil Pollution Act of 1990.

These spill response plans are designed to mitigate the environmental threat posed by oil pipelines. The resulting improved spill capability should lessen the reported 800 percent escalation in property damages and other costs reported by liquid pipeline operators in the past four years.

Finally, this funding includes $7 million provided for grants to states for Natural Gas and Hazardous Liquid Pipeline Safety programs. It also provides $2.8 million for program expenses, including automating identification and tracking of safety and environmental problems and compliance training.

Research and Special Programs

RSPA is requesting $24.6 million for the RSP account. These funds will support hazardous materials safety programs, Departmental R&D management and coordination, aviation information, emergency transportation, and program and administrative support.

OHM is requesting a total of $12.8 million in program funds and $15.7 million ($15 million obligation limitation) in emergency preparedness grants to improve state and local government's response to hazardous materials accidents and improve the effectiveness of the hazardous materials enforcement program.

The funds for the emergency preparedness grant program are fully offset by the collection of fees from shippers and carriers of hazardous materials, who are required to register.

OHM requests $140 thousand to translate portions of the U.S. Hazardous Materials Regulations into Spanish. The translation will assist the Mexican government in developing it's own hazardous materials regulations, contributing to the safe and smooth flow of HM transportation between the U.S. and Mexico. Additional benefits are anticipated for Hispanic businesses in the U.S.

RSPA is requesting an increase of $489 thousand to enhance the Department's R&D planning and management capabilities and upgrade the Department's civilian emergency transportation response capabilities.

SUMMARY

RSPA's agenda for FY 1994 includes an expanding and increasingly complex workload. In contrast, the RSPA budget request is conservative, consisting of a $9 million increase over the FY 1993 enacted level. RSPA continues to be a good investment. RSPA improves transportation safety, environmental protection, the utilization of transportation R&D and conducts a research effort that will yield multiple transportation dividends in the future.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
SUMMARY OF POSITIONS AND BUDGET AUTHORITY (BA)

	FY 1992 Actual	FY 1993 Enacted	FY 1994 Request
BUDGET AUTHORITY ($000)			
Research and Special Programs	22,366	23,504	24,587
Emergency Preparedness Grants	0	11,000	15,675
Pipeline Safety	13,553	15,050	18,887
Alaska Pipeline Task Force	0	550	0
Working Capital Fund (Volpe National Transportation Systems Center)	0	0	0
Totals, Budget Authority	35,919	50,104	59,149
OBLIGATIONS ($000)			
Research and Special Programs	21,658	24,273	24,587
Emergency Preparedness Grants	0	11,000	15,675
Pipeline Safety	13,339	15,292	18,887
Alaska Pipeline Task Force	0	550	0
Working Capital Fund (Volpe National Transportation Systems Center)	214,084	216,000	221,832
Totals, Obligations	249,081	267,115	280,981
OUTLAYS ($000)			
Research and Special Programs	20,059	21,937	23,426
Emergency Preparedness Grants	0	5,510	13,695
Pipeline Safety	12,438	13,594	17,645
Alaska Pipeline Task Force	0	440	110
Working Capital Fund (Volpe National Transportation Systems Center)	-21,470	0	0
Totals, Outlays	11,027	41,481	54,876
POSITIONS			
Research and Special Programs	209	215	216
Emergency Preparedness Grants	0	0	0
Pipeline Safety	66	72	72
Alaska Pipeline Task Force	0	0	0
Working Capital Fund (Volpe National Transportation Systems Center)	515	515	515
Totals, Positions	790	802	803
WORKYEARS (FTE)			
Research and Special Programs	197	208	204
Emergency Preparedness Grants	0	0	0
Pipeline Safety	57	69	67
Alaska Pipeline Task Force	0	0	0
Working Capital Fund (Volpe National Transportation Systems Center)	545	524	524
Totals, FTE subject to ceiling	799	801	795
FTE not subject to ceiling	62	62	62
Totals, All FTE	861	863	857

SUMMARY (cont.)

	FY 1992 Enacted	FY 1993 Estimate	FY 1994 Request
RSPA RECEIPTS ($000)			
Pipeline Safety Fund	14,327	15,706	17,078
Emergency Preparedness Fund Fees for EP Grants Accounts	2,821	17,430	17,430
Hazardous Materials Registration Program		3,570	3,570
Total, General Offsetting Receipts	17,148	36,706	38,078
OTHER FEES ($000)			
Electronic Tariff Filing Fees Credited to RSP Account in Appropriations Language	1,000	1,000	1,000

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Federal Funds

General and Special Funds:

RESEARCH AND SPECIAL PROGRAMS

[HAZARDOUS MATERIALS SAFETY]

[For expenses necessary to discharge the functions of Hazardous Materials Safety and for conducting research and development, $12,650,000, of which $1,350,000 shall remain available until expended: *Provided*, that there may be credited to this appropriation funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training, and for reports publication and dissemination.]

[AVIATION INFORMATION MANAGEMENT]

For expenses necessary to discharge the functions of [Aviation Information Management, $2,618,000] *the Research and Special Programs Administration, and for expenses for conducting research and development, $24,587,000, of which $180,000 shall be derived from the Pipeline Safety Fund, and of which $2,085,000 shall remain available until expended: Provided, That up to $1,350,000 in fees collected under section 106(c)(11) of the Hazardous Materials Transportation Act (49 U.S.C. App. § 1805 (c)(11)) shall be deposited in the general fund of the Treasury as offsetting receipts: Provided further*, That there may be credited to this appropriation funds received from States, counties, municipalities, other public authorities, and private sources for expenses incurred for training, for reports publication and dissemination, and for aviation information management: *Provided further*, That, notwithstanding any other provision of law, there may be credited to this appropriation up to $1,000,000 in funds received from user fees established to support the electronic tariff filing system: *Provided further*, That [the Department of Transportation shall prepare and publish] *there may be credited to this appropriation, funds received from user fees established to defray the costs of obtaining, preparing, and publishing* in automatic data processing tape format the United States International Air Travel Statistics data base [previously] published *by the Department*. [through March 1991. The Department may partially defray costs of preparation and publication of such statistics by charging a fair and reasonable fee for obtaining such information: *Provided further*, That there may be credited to this appropriation funds received from such user fees.]

[EMERGENCY TRANSPORTATION]

[For expenses necessary to discharge the functions of Emergency Transportation and for expenses for conducting research and development, $880,000, of which $73,000 shall remain available until expended: *Provided*, That there may be credited to this appropriation funds received from States, counties municipalities, other public authorities, and private sources for expenses incurred for training, and for reports publication and dissemination.]

[RESEARCH AND TECHNOLOGY]

[For expenses necessary to discharge the functions of Research and Technology and for expenses for conducting research and development, $1,470,000, of which $350,000 shall remain available until expended: *Provided*, That there may be credited to this appropriation funds received from States, counties municipalities, other public authorities, and private sources for expenses incurred for training, and for reports publication and dissemination.]

[PROGRAM AND ADMINISTRATIVE SUPPORT]

[For expenses necessary to discharge the functions of Program and Administrative Support, $5,886,000, of which $175,000 shall be derived from the Pipeline Safety Fund: *Provided*, That there may be credited to this appropriation funds received from States, counties municipalities, other public authorities, and private sources for expenses incurred for training, and for reports publication and dissemination: *Provided further*, That no employees other than those compensated under this appropriation shall serve in the Office of the Administrator, the Office of Policy and Programs, the Office of Civil Rights, the Office of Management and Administration, and the Office of the Chief Counsel.] *(Department of Transportation and Related Agencies Appropriations Act, 1993)*.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
RESEARCH AND SPECIAL PROGRAMS

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-0104-0-1-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
	Direct program:			
00.01	Hazardous materials safety	12,000	13,019	12,771
00.02	Airline statistics	2,495	2,618	2,533
00.03	Emergency transportation	927	880	965
00.04	Research and technology	1,516	1,870	1,963
00.05	Program support	4,720	5,886	6,355
	Total direct program	21,658	24,273	24,587
01.01	Reimbursable program	15,681	34,280	29,000
10.00	Total obligations	37,339	58,553	53,587
	Financing:			
21.40	Unobligated balance available, start of year	-71	-769	
24.40	Unobligated balance available, end of year	769		
25.00	Unobligated balance expiring	10		
39.00	Budget authority (gross)	38,047	57,784	53,587
	Budget authority:			
	Current:			
40.00	Appropriation	22,201	23,329	24,407
40.20	Appropriation (special fund)	165	175	180
43.00	Appropriation (total)	22,366	23,504	24,587
	Permanent:			
68.00	Spending authority from offsetting collections	15,681	34,280	29,000
	Relation of obligations to outlays:			
71.00	Total obligations	37,339	58,553	53,587
72.40	Obligated balance, start of year	5,334	6,883	9,219
74.40	Obligated balance, end of year	-6,883	-9,219	-10,380
77.00	Adjustments in expired accounts	-50		
87.00	Outlays (gross)	35,740	56,217	52,426
	Adjustment to budget authority and outlays:			
88.00	Deductions for offsetting collections: Federal funds	-15,681	-34,280	-29,000
89.00	Budget authority (net)	22,366	23,504	24,587
90.00	Outlays (net)	20,059	21,937	23,426

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
RESEARCH AND SPECIAL PROGRAMS

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-0104-0-1-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Direct Obligations:			
	Personnel Compensation:			
11.1	Full-time permanent	9,289	10,152	10,834
11.3	Other than full-time permanent	561	581	610
11.5	Other personnel compensation	244	245	252
11.9	Total personnel compensation	10,094	10,978	11,696
12.1	Personnel benefits: Civilian	1,671	2,844	2,924
21.0	Travel and transportation of persons	588	440	507
22.0	Transportation of things	19	100	50
23.3	Communications, utilities, and miscellaneous charges	753	441	391
24.0	Printing and reproduction	196	280	335
25.2	Other services	7,772	8,671	8,323
26.0	Supplies and materials	101	150	146
31.0	Equipment	464	369	215
99.0	Subtotal, direct obligations	21,658	24,273	24,587
99.0	Reimbursable obligations	15,681	34,280	29,000
99.9	Total obligations	37,339	58,553	53,587

PERSONNEL SUMMARY

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Full-time equivalent employment*	207	218	214
Full-time equivalent of overtime and holidays hours	1	1	1

* includes non-ceiling FY 1992-10, FY 1993-10, FY 1994-10

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	215	216
($000)		
Personnel Compensation and Benefits	$ 13,362	$ 14,005
Operating Expenses	3,740	3,205
Contract Activities	3,486	4,192
Registration Program	1,232	1,100
Research and Development	1,684	2,085
	$ 23,504	$ 24,587

APPROPRIATION SUMMARY
RESEARCH AND SPECIAL PROGRAMS
EXPLANATION OF ADMINISTRATIVE EXPENSE INCREASES/DECREASES

(in thousands of dollars)

Administrative expenses (personnel compensation and operating expenses) reflect an overall decrease of $142 thousand from the FY 1993 enacted level.

Total Personnel Compensation	$14,005	+643

This request for personnel compensation includes a reduction of $335 thousand, for five workyears (FTE), which is consistent with the President's goal of reducing the government workforce. Based on an analysis of FY 1992 and FY 1993 pay data, we have been able to develop a refined pay model used to accurately project our needs for FY 1994.

Within-Grades and Merit Pay	+326

The requested increase includes costs associated with merit performance for GM and GS employees. This increase also includes mandatory within-grade increases required for those employees who have met the required criteria.

Annualization of FY 1993 Pay Raise	+178

The requested increase is needed to cover the costs associated with the annualization of the portion of the FY 1993 pay raise that carries over into FY 1994.

Transit Benefit Program	+75

The requested increase is required to pay for the costs of the FY 1994 DOT established Transit Benefit Program.

Staff Transfer	+64

The request includes a transfer of one (1) position from the Office of the Assistant Secretary for Administration to fund the transfer of the accounting function.

Operating Expenses	$3,105	-785

This request for operating expenses includes a reduction of $109 thousand which is consistent with the President's goal of reducing the administrative costs of government.

Travel and Transportation $492 -8

Consistent with the President's goal of reducing administrative costs of government, the request has been decreased from the FY 1993 level.

Working Capital Fund (WCF) $1,645 -440

Our request is less than FY 1993 due to two factors. The first factor is a dependence on the Office of the Secretary's WCF budget being held at the same level as FY 1993. The second factor is a reduction of accounting costs, based on savings generated by the transfer of the accounting function from the Office of the Secretary to the Federal Aviation Administration. These reductions are consistent with the President's goal of reducing the administrative costs of government.

Communications, Utilities & Miscellaneous $441 -150

The request has been decreased from the FY 1993 level, in order to break-out the costs for IRM charges as a separate program within Program and Administrative Support. Funding does not include inflation associated with communications, utilities, and miscellaneous charges not covered under the working capital fund. These charges include: local phone charges; long-distance phone calls made under C&P or AT&T; workers compensation; etc.

Printing $270 -10

Consistent with the President's goal of reducing administrative costs of government, the request has been decreased from the FY 1993 level.

Training $76 +11

The requested increase is necessary to cover the cost of inflation and for program vulnerabilities.

Supplies & Materials $146 -4

Consistent with the President's goal of reducing administrative costs of government, the request has been decreased from the FY 1993 level.

Equipment $185 -184

Consistent with the President's goal of reducing administrative costs of government, the request has been decreased from the FY 1993 level.

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS
Element: Hazardous Materials Safety

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	118	116
($000)		
Personnel Compensation and Benefits	$ 6,257	$ 6,406
Operating Expenses	917	725
Total Contract Programs	2,910	3,140
Breakdown of programs:		
Information Systems	1,000	1,000
Research and Analysis	300	300
Inspection and Enforcement	140	230
Rulemaking Support	550	550
Hazmat Training	350	350
Information Dissemination	170	170
Emergency Preparedness	250	250
Sanitary Food Safety	150	150
International Standards	0	140
Registration Program	1,232	1,100
Research and Development	1,334	1,400
	$ 12,650	$ 12,771
Additional funds allocated from the Program Support activity for communications, utilities, WCF and misc. costs:	1,480	1,078
	$ 14,130	$ 13,849
HMTUSA Emergency Preparedness Grants Administrative Expenses*	$ 500	$ 1,225**

* Offsetting collections finance this activity.

** Funding for publishing the remaining portion of the Emergency Response Guidebook (ERG) was taken from Administrative Expenses ($200K) and Monitoring/Technical Assistance ($250K).

HAZARDOUS MATERIALS SAFETY

FY 1994 BUDGET REQUEST

MISSION

Hazardous Materials Safety (HMS) administers a comprehensive nationwide safety program to protect the Nation from the risks to life, health, property, and the environment inherent in the transportation of hazardous materials by water, air, highway and railroad, and to ensure the safe transportation of food.

HMS plans, implements, and manages hazardous materials (HM) and food safety transportation programs in the following functional areas:

Information Systems -- Maintains and operates automated data systems in support of all HM program activities.

Research and Analysis -- Analyzes, monitors and integrates HM transportation safety issues requiring high level policy surveillance; develops regulatory actions and analyzes costs, benefits, and other impacts associated with current and planned rulemaking projects; develops countermeasures for safety problems; and evaluates factors impacting current and proposed regulations.

Inspection and Enforcement -- Plans and manages a national program of safety inspection and enforcement to determine compliance with the Hazardous Materials Regulations (HMR); establishes and maintains cooperative relationships with State and local governments, other modal administrations, and industry concerning inspection and enforcement matters; and provides comments or feedback concerning enforceability of proposed or existing regulations.

Rulemaking Support -- Promulgates and maintains HM transportation safety standards; participates in the development of international safety standards; and maintains a system for providing regulatory relief through exemptions and approvals.

Hazmat Training -- Provides formal training and internships and develops educational materials using various media to enhance compliance.

Information Dissemination -- Disseminates educational materials and descriptive literature concerning specific requirements of the HMR to enhance compliance.

Emergency Preparedness -- Provides emergency response support and information to mitigate the consequences of HM incidents.

Sanitary Food Safety -- Implements the Sanitary Food Transportation Act (SFTA) of 1990 to safeguard the public health and environment by regulating the safe transportation of food and other consumer products.

Registration Program -- Registers and maintains a database of certain shippers and carriers of HM and collects fees to support emergency preparedness programs and activities.

International Standards -- Represents the U.S. in the development of international standards for HM transportation to protect the public, environment, and economic interests.

Emergency Preparedness Grants -- Implements a national grant and technical assistance program to increase public capability to plan for and respond to HM incidents.

Hazardous Materials Safety transfers costs from the Emergency Preparedness Grants appropriation to offset PC&B and operating expenses necessary to conduct the Emergency Preparedness Grants program. The costs allowed to be transferred for this activity are as follows:

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request
0	500	1,225*

* Funding for publishing the remaining portion of the Emergency Response Guidebook (ERG) was taken from Administrative Expenses ($200K) and Monitoring/Technical Assistance ($250K).

Accordingly, these funds are not included in the HMS appropriation request, but are counted in the Emergency Preparedness Grants Appropriation.

POSITIONS

New: 0

No new positions are requested in FY 1994.

PROGRAM: INFORMATION SYSTEMS

ACTIVITY (in thousands): Hazardous Materials Information Systems

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
500	1,000	1,000	0

PROBLEM STATEMENT:

The Secretary of Transportation is required by the Hazardous Materials Transportation Act (HMTA) to establish and maintain a central reporting system and data center to provide technical and other information to Federal, State, and local government agencies that respond to HM transportation emergencies. The Secretary is also required to submit an annual report to Congress on HM transportation including a thorough statistical compilation of accidents and casualties as well as a list of exemptions in effect and their basis. HMS information is collected and maintained on the Hazardous Materials Information System (HMIS).

HMS uses HMIS data to support its mission activities, develop regulations; issue exemptions, approvals, and interpretations; oversee radioactive material routing; and enforce safety regulations. This function is even more critical as the DOT monitors the transition to performance based packaging brought about under HM-181.

Amendments to the Hazardous Materials Transportation Act (HMTA) expanded the scope of HMIS by requiring the Department to collect information not previously available, including intrastate highway incident reports and certain other information on carriers and shippers of HM.

APPROACH:

The HMIS is operated by an on-site contractor that provides data entry, system development and maintenance, and data retrieval. HMS oversees improvements to the system. Contracting out this function is a cost-effective arrangement.

ACCOMPLISHMENTS:

As recommended by the General Accounting Office (GAO), HMS implemented a policy of correlating HMIS reports with the RSPA telephonic database and the Federal Railroad Administration's (FRA) and Federal Highway Administration's (FHWA) written reports to ensure compliance with reporting requirements. The Volpe National Transportation Systems Center (VNTSC) completed a pilot study of the possible benefits of correlating HMIS data with incident data collected by State agencies using California, New Jersey, and New York as models. Database revisions necessitated by HM-181 have been accomplished.

WORKLOAD INDICATORS

	1991	1992	1993 *	1994 *
Incident Reports	9,032	9,300	9,500	20,000
Exemption Processed	1,684	1,816	1,700	1,600
Approvals Processed**	6,639	8,223	11,000	16,000
Competent Authorities	600	250	350	500

* Estimated
** Includes registrations

In July 1992, RSPA published the Final Rule implementing the shipper and carrier registration requirements. As registration data become available they are integrated into the HMIS database. An intermodal inspection and enforcement database was initiated in the second quarter of FY 1993. In FY 1994, regulations extending the reporting requirements to intrastate transportation of HM will be issued, adding more than 10,000 incident reports to the HMIS data base. These actions will result in a more comprehensive database, as recommended by OTA and GAO. The intermodal inspection and enforcement database will enable RSPA and the other modes to more easily take prior shipper violations into consideration when recommending penalties. In FY 1993, a new contract with a new contractor was negotiated.

PLANNED FOR FY 1994:

RSPA will continue to build a more comprehensive HMIS database, as recommended by OTA and GAO, by obtaining information on: shippers and carriers who are required to register and pay a fee to support an emergency preparedness grants program; inter- and intrastate incidents; and prior shipper violations. Plans for completing the intermodal database of inspection and enforcement data relating to HM shippers will be completed. RSPA will also improve data quality, reliability, timeliness, and accessibility. RSPA is requesting $1,000,000 to continue this activity.

CONSEQUENCES OF NOT FUNDING:

If these activities are not funded, the Secretary would be in violation of the central reporting system and data center requirements of the HMTA. Not funding the HMIS would seriously weaken RSPA's ability to identify causes of HM incidents and improve safety through regulatory standards. Since performance packaging standards are being implemented between 1991 and 1996, it is essential that incidents involving these packages be reported and analyzed. RSPA must be able to 1) ascertain that the new standards maintain a high level of safety, and 2) quickly identify areas which may need corrective action. Similarly, without adequate data records, RSPA would be unable to quickly track exemptions, approvals, and interpretations.

PROGRAM: RESEARCH AND ANALYSIS

ACTIVITY (in thousands): Regulatory Analysis

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
200	300	300	0

PROBLEM STATEMENT:

HMS is required to analyze, monitor, and integrate safety issues; develop countermeasures for safety problems; develop regulatory actions and analyze costs, benefits, and other impacts associated with current and planned rulemaking projects; and evaluate factors impacting current and proposed regulations.

Each major rule requires preparation of a regulatory impact analysis and each non-major rule requires a regulatory evaluation. All rulemaking actions must include an analysis of costs and benefits including an estimate of the potential cost savings or other benefits to the economy, in accordance with the President's guidelines, applicable Executive Orders, and the Department of Transportation (DOT) regulatory policy. Assessments must also be made to ensure that: the actions are needed; their benefits exceed their costs; and the impact on small businesses and the environment is minimized. Impacts on Federal-State relationships must also be determined. Special studies are occasionally needed to support rulemaking actions and preemption determinations and to evaluate potential safety problems. In addition, there is an increasing call for quantitative profiles of the regulated industry. HM-181, Performance-Oriented Packaging Standards, a complex, controversial rulemaking, required in excess of 15 staff years to complete. The regulatory evaluation alone required a core staff of five and several months to finish.

APPROACH:

RSPA staff provide the regulatory, legal, and technical expertise to evaluate rulemaking actions and preemption issues. When the Agency does not have either the specific technical skills or available staff to accomplish specific evaluations or studies, HMS must rely on technical expertise external to the agency, most often, the staff of the Volpe National Transportation Systems Center. Because of the staff expertise, The Volpe Center can produce effective, timely, and technically accurate analyses and studies.

ACCOMPLISHMENTS:

- In 1992, accomplishments included final rules for training, marine pollutants, registration and fee collection, and emergency response planning and training grants.

- In FY 1993, RSPA published an interim final rule to implement provisions of the Oil Pollution Act.

- In FY 1993, RSPA is continuing work on high priority rulemakings including SFTA, identification and placarding systems, and harmonizing domestic and international requirements.

PLANNED FOR FY 1994:

RSPA currently has over 20 high priority rulemakings in progress, many of which are required by the HMTA and the SFTA. A number of these rulemakings will extend into FY 1994 and beyond, and new issues are certain to arise. Ongoing regulatory activities which may continue into FY 1994 include: adjustments to the standards adopted under HM-181, based on feedback from the regulated industry and international regulatory changes; food safety standards; implementation of Annex III of the MARPOL Convention on marine pollutants; rail tank car safety issues; extending the HMR to intrastate transportation; identification and communication systems; and revised standards for cylinder manufacture and maintenance. Several of the rulemakings respond to some of the 40 open NTSB recommendations addressed to RSPA.

RSPA has 216 petitions for rulemakings to which it must respond and anticipates a surge in petitions for rulemaking coinciding with the end of the transition period for most HM-181 provisions on October 1, 1993.

CONSEQUENCES OF NOT FUNDING:

RSPA would not be able to comply fully with various laws and Executive Orders if this program were not funded. Rulemakings would be susceptible to court challenge if RSPA proceeded without supporting documents and required analyses. Rulemaking could be forestalled because required supporting documents and analyses could not be prepared.

The goal of rulemaking is to provide for a safe transportation environment for HM and food. Without an effective regulatory program, the public and those involved in shipping, transporting, and handling HM are placed at greater risk because requirements which enhance safety have not been implemented. Without an effective regulatory program, U.S. industry would find it more difficult to compete in the international market place.

PROGRAM: INSPECTION AND ENFORCEMENT

ACTIVITY (in thousands): Compliance Support

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
145	140	230	+90

PROBLEM STATEMENT:

The HMS enforcement program has jurisdiction over 7,000 packaging manufacturers and approximately 50,000 shippers. These numbers will increase with the extension of the HMR to intrastate transportation of HM and implementation of the SFTA. Approximately 500,000 shipments of HM move in the Nation's commerce every day. It is impossible to inspect each one, but it is essential to encourage and enforce compliance with the HMR.

APPROACH:

HMS enhances regulatory compliance through a three-part strategy: (1) inspections and enforcement of regulations; (2) coordination of DOT's overall HM enforcement programs; and (3) sponsorship of cooperative programs which provide officials in State and local governments with an appreciation of the need for uniformity in enforcement efforts. These include a variety of individual initiatives:

- Civil and criminal penalty enforcement activities by staff located at headquarters and four regional offices;

- The Cooperative Hazardous Materials Enforcement Development (COHMED) program which provides for the exchange of information among the States, local governments, and industry on compliance and enforcement issues;

- A Hazardous Materials Specialist Internship program, which sponsors candidates from State and local HM transportation enforcement agencies to participate in an eight-week residency with RSPA;

- A four-part video series, "The Compliance Partnership," which acquaints officials with the benefits of preventing environmental problems through inspection and enforcement programs; and

- The Awareness for Initial Response to Hazardous Materials Incidents Video. This video is in great demand. It is widely disseminated to help State and local agencies and Industry comply with training regulations.

ACCOMPLISHMENTS:

WORKLOAD INDICATORS

	1991	1992	1993 *
Inspector Work Years	14.25	18.0	21.0
Inspections	1,050	1,300	1,400
Civil Cases	160	133	175
Cases Closed	125	64	150
Penalty Assessments	$646,010	$300,248	$600,000

* Estimated

In FY 1992 and 1993, RSPA:

- Reduced the Hazardous Materials Specialist Program from 12 to 8 weeks to increase participation by easing State officials' concerns regarding the participants' absence from their respective jurisdictions.

- Modified the program structure to enhance direct, first-hand enforcement and investigation experience with RSPA regional office personnel.

- Expanded program criteria and aggressively solicited 10 participants from 9 States to participate in the Hazardous Materials Specialist Intern Program.

- Completed and distributed 150 copies of "The Compliance Partnership" video series.

- Sponsored COHMED's Spring 1993 Conference in Charleston, South Carolina and the Fall 1992 Semi-Annual Conference in Minneapolis, Minnesota. Approximately one hundred forty-one participants from Federal, State, and local government and industry attended each Conference.

- Contracted for the COHMED Quarterly Newsletter and Bulletin and assisted COHMED in a comprehensive update/revision, printing, and distribution of the COHMED Workbook.

- Maintained the COHMED mailing list of more than 3,000 Federal, State, and local government, industry, and private sector participants.

PLANNED FOR FY 1994:

In FY 1994, RSPA will:

- Conduct over 1,600 inspections, initiate 250 civil cases, close 225 cases, and assess over $900,000 in penalties.

- Conduct formal hearings. Each respondent in a civil penalty enforcement case has the right to request a formal hearing before an administrative law judge. Funding in the amount of $5,000 is required for hearings.

- Fund four COHMED meetings in FY 1994 at a cost of $100,000, which is an increase of $5,000. Staff will also take courses in Spanish to facilitate COHMED meetings.

- Continue the Hazardous Materials Specialist Internship program for which $50,000, an increase of $10,000, is requested.

- Contract for part-time secretarial support for each of the four regional offices. There are no clerical positions in these offices. Inspectors must answer the telephone, prepare correspondence, and handle all other administrative matters pertaining to office operations. Using transportation enforcement specialists for these activities detracts from the primary mission of the regional offices. $75,000 is requested for this purpose.

CONSEQUENCES OF NOT FUNDING:

The major increase requested, $75,000 to contract for part-time secretarial support, will free up inspectors to conduct more inspections. Providing secretarial support will result in more inspections and civil penalties and a higher rate of compliance. Federal support of State and local government enforcement and emergency responders is essential to protect the public and the environment from the consequences of the release of HM. If that support is not provided, State and local governments might make it more difficult for industry to ship HM through their communities. Increased State and local restrictions would increase transportation costs which would be passed to the consumer.

In addition, the compliance support program provides State and local enforcement and emergency responders the tools to foster compliance with the HMR and respond to incidents involving HM.

PROGRAM: RULEMAKING SUPPORT

ACTIVITY (in thousands): Transportation Safety Standards

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
241	550	550	0

PROBLEM STATEMENT NO. 1:

To carry out its statutory responsibilities to protect the public from risks from the transportation of HM, HMS is required to determine the need for, develop, promulgate and maintain national safety standards for HM transportation.

APPROACH:

Regulations cover requirements for classification of HM, hazard communication, packaging, handling, transportation, and incident reporting. Rulemakings are initiated to address safety problems, incorporate new technology, simplify the regulations, delete unnecessarily burdensome requirements, and address new legislation.

In compliance with the Administrative Procedure Act and other applicable legislative and executive requirements, the public is given an opportunity to comment on proposed rulemaking actions. This entails publishing all proposed and final actions in the Federal Register, including exemptions, formal interpretations and inconsistency rulings; maintaining a public docket section and, when appropriate, holding public meetings; and annually republishing the applicable parts of the Code of Federal Regulations (CFR).

PLANNED FOR FY 1994:

HMS projects it will spend approximately $238,500 in FY 1993 for Federal Register printing alone. HMS estimates that it will require $245,000 in FY 1994 to meet its obligations for Federal Register publications. The Federal Register charges $375 per page. By FY 1994, it is expected that these charges will increase without a significant reduction in the number of pages HMS will have to publish. These publications are not discretionary.

HMS is also requesting $200,000 to fund the annual republication of it's portion of the Code of Federal Regulations, the two volumes comprising Parts 100-180 of Title 49. This also is not a discretionary expenditure.

To enhance opportunities for public participation in rulemakings, HMS is requesting $5,000 to fund four one-day rulemaking hearings, two in the District of Columbia and two elsewhere. The funding would cover room rentals, court reporter fees, and other expenses of such public meetings.

CONSEQUENCES OF NOT FUNDING:

Annual republication of the CFR and publication of notices and final rules in the Federal Register are nondiscretionary activities essential to fulfilling RSPA's HM safety mission, as mandated by the HMTA. In addition to violating the HMTA, RSPA would be unable to promulgate new regulations or amend the existing ones. This could have adverse effects on safety and on the ability of U.S. industry to transport HM, particularly in international commerce.

Failure to fund rulemaking public hearings would hinder RSPA's ability to provide opportunities for public participation in the rulemaking process.

PROBLEM STATEMENT NO. 2:

HMS has a continuing need for short-term technical analysis of HM incidents to:

- determine the cause, potential for additional incidents, and appropriate countermeasures;
- document the benefits and costs of alternative regulatory actions, including converting into general regulations exemptions applications and approval requests which have broad application and important safety impacts or significant economic benefits; and
- study new or proposed changes to international transportation safety regulations which may affect industry competitiveness.

APPROACH:

RSPA operates through contractual arrangements with sources of technical expertise such as the National Institutes of Standards and Technology and the Bureau of Mines. HMS ensures RSPA's ability to respond to unanticipated questions on complex technical issues raised by the thousands of requests for exemptions, approvals, and certifications received each year. Many applications involve requests to transport new products or use innovative mechanisms.

This program enables industry to remain on the cutting edge of technology and compete internationally using the most advanced techniques available.

ACCOMPLISHMENTS:

WORKLOAD INDICATORS

	1991	1992	1993 *	1994 *
Exemptions Processed	1,684	1,816	1,700	1,600
Approvals Processed	6,639	8,223	11,000	16,000
Requests for Information	2,158	7,406	7,900	8,500
Correspondence	320	550	650	750
Studies	17	17	17	15

* Estimated

PLANNED FOR FY 1994:

At this time, RSPA has approximately 215 pending exemption applications. HMS is requesting $100,000 to continue its use of task order contracts and interagency agreements with organizations with the ability to provide quick-turnaround evaluations and analyses of operational controls, classification criteria, and packaging and performance standards. While specific evaluations and analyses cannot be predicted, as industry requests to transport new products or use innovative advancements, HMS anticipates that in FY 1994 applications will continue to grow.

CONSEQUENCES OF NOT FUNDING:

If this program is not adequately funded, RSPA's ability to process requests for exemptions, approvals, and certifications would be severely limited because it would not have the technical documentation required to approve new products. As a consequence, industry would be required to continue using outmoded and expensive procedures and would be restricted from introducing new products to the marketplace. Industry's ability to compete in the international marketplace would be hindered because of foreign competition's ability to take advantage of new innovations.

PROGRAM: HAZARDOUS MATERIALS TRAINING

ACTIVITY **(in thousands):** Hazardous Materials Training

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
304*	350**	350	0

* **Note:** Budget restructured: Net of -$47K for distributing modules transferred in 1992 to Information Dissemination.

** **Note:** This component of $350K was part of the $400K training and Information Dissemination in FY 1993.

PROBLEM STATEMENT:

Public safety personnel are the first defense for protecting life, health, property, and the environment. Their inspection and compliance efforts directly contribute to increased safety in the transportation of HM. The availability of cost-effective compliance training and up-to-date educational materials is critical to their ability to perform their safety roles.

APPROACH:

We will develop training materials and provide classroom training to enhance compliance with the HMR through the Transportation Safety Institute (TSI) and contract support. RSPA will develop and make greater use of stand-alone training materials and mass communications technology to reach a much wider audience, especially among those smaller jurisdictions that can least afford formal classroom training for their officials.

ACCOMPLISHMENTS:

In FY 1992, we trained 6,173 State and local government personnel at TSI. A similar number will be trained at TSI in FY 1993. In addition, over 1,200 participants were trained at RSPA-sponsored seminars and conferences. All TSI courses were updated to incorporate regulatory changes made by HM-181. Eighty-five percent of in-house training materials were also updated to reflect HM-181 and other regulatory changes including HM-126F and HM-214. An estimated 60,000 persons were trained using the HM transportation training modules supplied by DOT to States for their use and loan. Over 400,000 copies of HM education materials and documents were distributed to the public sector for inclusion in their training documents and for replication and distribution to their employees and students. In FY 1993, additional training modules on cargo tanks and 1992 changes to the HMR will be distributed to States for their use and loan to the public.

PLANNED FOR FY 1994:

A total of $350,000 is requested to enable RSPA to continue to provide compliance training through TSI. We anticipate that over 6,000 State and local government personnel will be trained in approximately 255 classes.

CONSEQUENCES OF NOT FUNDING:

The Federal/State/local government partnership would be seriously jeopardized. Without proper information and training, States and local jurisdictions would not be able to adequately inspect shipments of HM and enforce HM laws. This could increase the potential injury to people and the environment, and it could create a situation where these jurisdictions attempt to close their borders to the interstate transportation of certain subclasses of HM.

PROGRAM: INFORMATION DISSEMINATION

ACTIVITY (in thousands): Information Dissemination

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
197*	170**	170	0**

* **Note:** Budget restructured: Net of -$150K telephonic support moved to Emergency Preparedness; +$47K to distribute modules added from Training and Information Dissemination in 1992.

** **Note:** The FY 1993 estimate reflects the transfer of $50K from the $400K for training and Information Dissemination in FY 1993 and $120K from the $370K from Emergency Preparedness in FY 1993.

PROBLEM STATEMENT:

Public and industry personnel need access to timely and accurate information on requirements for compliance with the HMR, the hazard of certain materials and appropriate procedures to manage emergency situations. Industry also needs to be aware of and participate in the development of proposals affecting the international transportation of HM to sustain the U.S. $20 billion dollar chemical trade balance. The need for information will increase substantially with the extension of the HMR to intrastate transportation, implementation of SFTA, new HM employee training requirements, oil pollution response plans, medical waste regulations, and the North American Free Trade Agreement (NAFTA). NAFTA will precipitate an increased need for delivery of training materials and guidance in Spanish.

APPROACH:

The Office of Technology Assessment concluded in 1986 that "a national clearinghouse to make existing information on HM training programs and resources available to States and local personnel both in hard copy and on line, would provide an extremely useful service to emergency response forces." (Transportation of Hazardous Materials, July 1986.) RSPA responded with the creation of the Hazardous Materials Information Exchange (HMIX), a computer bulletin board and information transfer system. A clearinghouse for all types of HM information, including planning, preparedness, training, regulations, enforcement, and emergency response, the system provides two-way communication between users and can be accessed by calling a toll-free number. Many materials that RSPA publishes are made available for electronic downloading through HMIX.

RSPA also produces and distributes more than 700,000 HM information publications annually to industry, the public, and emergency responders. We conduct HM awareness seminars with the assistance of the modal administrations and with the Commercial Vehicle Safety Alliance (CVSA) and the Conference On Safe Transportation of Hazardous Articles (COSTHA). These seminars help Federal, State and local government and industry personnel understand the HMR and their importance in response communication.

ACCOMPLISHMENTS:

RSPA has had great success in the operation of the HMIX. It is a widely used, cost-effective and up-to-date means of information dissemination.

- In FY 1992, 18,000 users made 40,000 calls to access the bulletin board; and over 22,000 calls were made to the HMIX technical assistance numbers. In the first quarter of FY 1993, users jumped to 26,000, a 44% increase.
- Six new topics were added: Fire/Emergency Medical Service; U.S. Coast Guard Auxiliary; International Activities Relating to Dangerous Goods; CAMEO (Computer Assisted Management Emergency Organizations); DOE/UETC (Department of Energy/Urban Energy and Transportation Corporation); and the National Task Force.

In 1992, we conducted a seminar in conjunction with the FHWA and the CVSA and have requests for several more. In conjunction with COSTHA, we completed a series of three seminars on regulatory improvements. Handout materials for seminar distribution were updated to reflect recent regulatory changes.

In FY 1993, RSPA is adding additional 800 numbers and upgrading the software. RSPA is continually updating existing publications and developing new materials to reflect significant regulatory changes, particularly HM-181 and HM 126(F). Training courses, technical assistance, training materials and HM information will be provided at all seminars and outreach events.

PLANNED FOR FY 1994:

RSPA is requesting a total of $80,000 to continue outreach and information dissemination efforts through the HMIX and by direct contact with public and private safety and emergency response personnel.

On-site training by TSI meets only part of the demand for training. It is extremely important for RSPA to develop self-study and off-site learning materials and training programs for the multifaceted audience it serves, particularly people who are unable to obtain institutional training. A total of $40,000 is requested to revise and update the Awareness for Initial Response videotape to further compliance with the HM-126F training rule and to revise and update the modular training series. The four training videos address enforcement, effective State programs, hazardous materials investigation, and response to incidents involving cargo tanks.

We are also requesting $50,000 to develop, for multimedia dissemination, new and revised informational materials which address new or changed training, packaging, cargo tank, and hazard communication requirements of the HMR, and oil as a regulated material. Information produced will be disseminated at seminars, and we will increase the accessibility of seminars to reach the greatest number of people.

RSPA also plans to add additional topics to HMIX. They include: making all exemptions available to enforcement and emergency personnel; adding a HMTA topic to assist grantees; the Oil Pollution Act; gas and liquid pipeline issues; and commonly asked questions and answers on how to use the HMIX more effectively. RSPA will also make training topics more user friendly and translate selected materials on the HMIX into Spanish.

CONSEQUENCES OF NOT FUNDING:

Use of the HMIX has grown consistently and significantly since it was first made available. This modest program enables RSPA to respond interactively nationwide -- providing information on new legislation, regulations and the availability of training to meet the needs of the regulated industry. We are responsible for providing current, accurate, coordinated, and timely guidance and information materials. Failure to use the HMIX to inform the public of current information on HM training opportunities and vital information on implementation of the full range of programs under the HMTA and SFTA will require the use of more expensive means to disseminate information. In addition, in order to be effective, the information RSPA disseminates must be kept up-to-date. Constant revision, as the HMR changes, and expeditious dissemination is critical to the success of the program.

PROGRAM: EMERGENCY PREPAREDNESS

ACTIVITY (in thousands): Emergency Response Support

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
150*	250**	250**	0

* Note: This amount reflects the transfer of $150K of the $300K Emergency Response funds in FY 1992 to the Information Dissemination Program.

** Note: This amount reflects the transfer of $120K of the $370K Emergency Response funds in FY 1993 to the Information Dissemination Program.

PROBLEM STATEMENT:

The HMTA requires RSPA to establish and maintain a central reporting system and data center to provide the law enforcement and fire fighting personnel, government officers and other interested persons, with technical and other information and advice for meeting emergencies connected with the transportation of HM. RSPA is also required to annually submit to the President a comprehensive report on the transportation of HM, including a statistical compilation of accidents and casualties.

APPROACH:

HMS has had a reimbursable agreement for 11 years with the Coast Guard's National Response Center (NRC) to receive incident reports from carriers. The NRC provides callers with immediate technical advice on responding to incidents through data links with the Chemical Transportation Emergency Center, a service of the Chemical Manufacturers Association. The NRC also notifies either an EPA or Coast Guard on-scene coordinator, if warranted. RSPA receives immediate notice of major incidents, such as the closing of a major transportation artery. A permanent record of telephonic reports is established and integrated within the HMIS data system.

ACCOMPLISHMENTS:

The NRC has supported HMS through the receipt of hundreds of reports of transportation incidents involving HM. Because of extensive efforts to inform the transportation industry of revised reporting requirements, reporting of incidents has increased, as shown in the following table:

WORKLOAD INDICATORS

	1991	1992 *	1993 *	1994 *
Incident Reports Submitted to RSPA	9,032	9,300	9,500	20,000

* Estimated

PLANNED FOR FY 1994:

The HMTA requires the Secretary of Transportation to issue regulations for the safe transportation of HM in intrastate, interstate, and foreign commerce. In FY 1994, RSPA plans to extend the reporting requirements to intrastate transportation of HM to build a more comprehensive database, as recommended by OTA and GAO. It will substantially increase the number of incident reports received. We are requesting $250,000 for telephonic support.

CONSEQUENCES OF NOT FUNDING:

If this activity is not funded, RSPA would be in violation of the Congressional requirement to establish and maintain a central reporting system and data center. RSPA would be unable to notify EPA, Coast Guard, or State and local responders and provide emergency response information when transportation accidents occur. Such an action would also deprive the State and local governments and Indian tribes that depend upon this information for emergency response and enforcement planning.

PROGRAM: SANITARY FOOD SAFETY

ACTIVITY (in thousands): Compliance and Enforcement of Regulations

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
265	150	150	0

PROBLEM STATEMENT:

The Sanitary Food Transportation Act (SFTA) requires implementation and enforcement of regulations to enhance the safe transportation of food. In FY 1994, SFTA's compliance and enforcement activities should be fully operational. Technical and economic analyses will be required to support the increase in related regulatory and compliance activities.

APPROACH:

The Sanitary Food Safety Program will grow rapidly in FY 1994. Based on experience with the regulations, the regulated industry will likely request changes and modifications to the regulations, exemptions, and waivers to compliance. Any waivers must be made in consultation with the Secretaries of the U.S. Departments of Agriculture (USDA) and Health and Human Services (HHS).

ACCOMPLISHMENTS:

As required by SFTA, RSPA formed an interagency task force with USDA, HHS, and EPA which meets on a regular basis to address technical aspects of the proposed regulations. RSPA also formed a DOT Working Group composed of specialists from RSPA, FHWA, and FRA to assist in developing the regulations. An Advance Notice of Proposed Rulemaking (ANPRM) was published in 1991. HMS completed the evaluation of the comments received. A cost-benefit analysis was also completed. That analysis considered the economic impact that inspections and record keeping provisions and additional cleaning requirements would have on shippers and carriers, food processors, chemical manufacturers and meat and produce processors. In FY 1993 RSPA will take into consideration the results of that cost-benefit analysis in developing a Final rule.

PLANNED FOR FY 1994:

In FY 1994, RSPA will continue to refine its management, regulatory, and enforcement activities. Ongoing technical and economic studies will be required to ensure that the regulations are relevant to "real world" problems. The funding requested will support continued regulatory refinements as necessary, especially those in response to industry petitions for reconsideration, the result of analyses of incidents, or innovations in the transportation system. This funding will enable RSPA to perform continuing analyses of the regulations and compliance efforts to ensure delivery of safe food products to the public. The funds will also support a waiver program (including technical and administrative review), to enable affected industry to request relief from certain provisions of the food safety regulations, and incident reporting data collection.

CONSEQUENCES OF NOT FUNDING:

The purpose of the SFTA regulatory program is to safeguard food from contamination during transportation. If this program is not properly funded and implemented, the regulation program would not be effective, and the economic viability of over 100,000 entities affected by the regulations could be damaged.

PROGRAM: INTERNATIONAL STANDARDS

ACTIVITY (in thousands): Advocate U.S. Position on International Standards

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	140	+140

PROBLEM STATEMENT:

The formulation and advocacy of U.S. policies with respect to international HM safety standards is critical to public safety and U.S. business interests. Our objective is to promote a worldwide system that provides consistency between modes and regions sufficient to guarantee the free movement of HM. Consistency improves compliance with U.S. regulations and safety; reduces the need for enforcing U.S. domestic regulations on import shipments; and is advantageous to the U.S. favorable balance of trade in hazardous chemicals ($20 billion in 1992).

APPROACH:

RSPA participates in five international organizations: the United Nations (U.N.) Economic and Social Council Committee of Experts on the Transport of Dangerous Goods, the Working Party on the Transport of Dangerous Goods of the UN Economic Commission for Europe, the International Civil Aviation Organization Dangerous Goods Panel, the International Atomic Energy Agency, and the International Maritime Organization Carriage of Dangerous Goods Sub-Committee.

ACCOMPLISHMENTS:

International regulations require continual updating to respond to changes in technology, new and unique HM, and concerns for safety. Each year, RSPA represents the U.S. in 12 international meetings, hosts public meetings and maintains a computer bulletin board to keep the public informed. RSPA staff prepare over 100 official U.S. position papers. RSPA also meets with other government agencies to formulate U.S. positions. RSPA reaches out to industry and public interest groups by participating in four conferences each year.

RSPA published regulations consistent with international performance-based regulations, giving industry greater flexibility in selecting the most suitable packaging and greater possibilities for packaging innovation. Well-defined criteria for the hazards regulated were also included. These changes will further facilitate U.S. foreign trade in HM.

During FY 1992, after research on how air bags can best be classified and transported, the U.S. proposed at an international meeting to classify them as miscellaneous dangerous goods in lieu of the existing explosive classification. This proposal was accepted in July 1992. These changes will improve safety, facilitate the transport of these vital safety items, and reduce other non-transportation costs. Similar proposals are being developed in FY 1993.

Mexico is developing detailed regulations on the transportation of HM. It is important for both countries that these regulations are consistent with U.N. and U.S. regulations. As a part of negotiations on the North American Free Trade Agreement, a number of discussions between U.S. and Mexico officials have taken place, and a timetable is being developed to complete Mexican regulations. Mexican officials are receptive to U.S. assistance but lack of a Spanish translation of our HMR creates difficulties in making satisfactory progress in this work.

PLANNED FOR 1994:

RSPA will continue to represent U.S. interests before bodies formulating international regulations and support the Mexican Government's development of regulations which are consistent with U.S. regulations. Funding allocated to this program will be used primarily to translate portions of the U.S. HMR into Spanish, on a priority basis. Translation of all of the HMR would cost significantly more than requested. It is anticipated that work on translating the regulations in their entirety would span several years. A Spanish translation of the U.S. HMR may ultimately form the basis for HM regulations in other countries in Central and South America and prove useful to the Spanish speaking population in the U.S.

CONSEQUENCES OF NOT FUNDING:

Failure to fund this program will be detrimental to the development of Mexican HM regulations consistent with U.S. regulations and impede the smooth flow of HM between the U.S. and Mexico. Lack of consistency may reduce the safety of transporting HM between Mexico and the U.S., increase the need to enforce the HMR at the U.S./Mexico border, and have a negative effect on the considerable U.S./Mexico trade in HM. The benefits of having a Spanish translation for use in the U.S. will also not be realized.

PROGRAM: SHIPPER AND CARRIER REGISTRATION

ACTIVITY (in thousands): Registration System

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
1,900	1,232	1,100	-132

NOTE: These appropriated funds will be offset by collections received from shippers/carriers who register annually.

PROBLEM STATEMENT:

The HMTA requires the Secretary of Transportation to register certain shippers and carriers of HM. In addition to the cost of registration, the Secretary is required to collect an annual fee of not less than $250 nor more than $5,000 from the shippers and carriers to support an emergency response program.

APPROACH:

Congress required RSPA to charge shippers, carriers, and other persons subject to registration for the cost of administering the registration program and for processing the registration statements. Unlike the funding mechanism for the grant program, the administrative costs of the registration program require an annual appropriation. These funds must be available prior to each registration year to enable RSPA to enter into contracts to process the registration statements.

ACCOMPLISHMENTS:

The Final Rule was published July 1992. Although RSPA administers the program, processing thousands of registration statements requires the resources and coordinated efforts of six major work units: RSPA; HMS; a Data Manager contracted by RSPA to process the registration statements, issue certificates of registration, and maintain and manage the registration data file; the U.S. Treasury; and two banks selected by Treasury to collect the fees and provide other banking services without cost to the Department. RSPA worked with the Treasury to design a registration and fee collection system to expedite deposits of money into the Treasury, capture required data, ensure financial accountability, and issue Certificates of Registration. RSPA implemented an extensive outreach program to inform industry of the requirements of the program. In FY 1993, RSPA will continue to refine the administration of the program based on experience gained in FY 1992.

PLANNED FOR FY 1994:

FY 1994 will be the second full year of operation. We will require a FY 1994 appropriation of $1,100,000 to continue to contract for the collection and processing of data and fees required by the HMTA, for administrative costs to maintain a record keeping system, to provide accountability for the information and funds, and to issue Certificates of Registration. An equal amount of money will be returned to the U.S. Treasury upon receipt of the fees within the same year. RSPA will also continue an aggressive industry outreach program.

CONSEQUENCES OF NOT FUNDING:

The HMTA requires establishment of a registration program. Not funding the program will violate that requirement. In addition, this program will provide millions of dollars for emergency preparedness grants which will benefit States, local governments and Indian tribes, industry, and the public.

RESEARCH AND DEVELOPMENT

MISSION & OVERVIEW

The Hazardous Materials Technology Program is mandated by the Transportation Safety Act of 1974 and other legislation. This program provides the technical and analytical foundation necessary to support the DOT's regulatory enforcement and emergency response activities in the area of HM transportation safety.

(in thousands of dollars)

	FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
R&D Program Totals:	1,248	1,334	1,400	+66
Breakdown:				
Information Systems	240	300	300	0
Research & Analysis	708	684	714	+30
Regulation Compliance	250	300	386	+86
Emergency Preparedness	50	50	0*	-50

* Funded by the Training Curriculum section of the Emergency Preparedness Grants appropriation

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): Information Systems

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
240	300	300	0

PROBLEM STATEMENT:

New legislative requirements of HMTA and evolving programmatic goals require studies and software to facilitate the analysis and use of collected information.

APPROACH:

RSPA utilizes two sources for developing means to use HMIS data:

- A contract that provides system development services. The contractor provides software that enables RSPA to access and efficiently use HMIS data and prepare specialized presentations of HMIS data.

- VNTSC, which provides research and development services related to data collection.

ACCOMPLISHMENTS:

Graphic and geographic representations of incident data have been developed. File structures and data coding schema have been revised to conform the database with regulatory changes. Access to the HMIS has been provided to 53 State and local government agencies and to more than 50 Federal offices. Incident data have been used at the State level to support legislative and regulatory actions, prioritize enforcement efforts, allocate emergency response training resources, conduct research studies, and assist in planning and implementing HM programs. RSPA uses the HMIS to develop information to plan inspections. The enforcement program has an internal tracking system in the HMIS which contains many types of data on enforcement activities.

In addition, a multimodal group under the leadership of HMS has been established to coordinate intermodal HM enforcement efforts. This group is developing plans for an intermodal database of inspection and enforcement data relating to shippers of HM. The DOT will establish a shared HM database as soon as possible; we completed initial actions on the database in the second quarter of FY 1993. In late FY 1992, RSPA began receiving data on shippers and carriers subject to registration. In FY 1992 and FY 1993, those data were integrated into the HMIS and were available for HM transportation studies.

PLANNED FOR FY 1994:

- Continue to refine the intermodal database.

  This will enhance RSPA's ability to implement a risk-based approach to planning inspection activities and to obtain more information on previous shipper violations to consider when penalties are recommended.

- Continue to integrate registration data into the HMIS, improve the linking of various data files and improve methods of relating these files with data systems maintained by other DOT elements and outside sources.

- Continue to develop user-access assistance programs for the HMIS and registration data.

  Registration information will provide the capability to correlate HM activity to geographic locations and to interrelate RSPA data with other Federal, State, and local government information systems for emergency preparedness and enforcement purposes.

A total of $300,000 is requested for system development and analytical services.

CONSEQUENCES OF NOT FUNDING:

Without funding, RSPA would be unable to analyze collected data necessary to direct the regulatory program or to continue to provide cooperative assistance to government organizations outside of RSPA. Without funding, RSPA would again be subject to criticism by OTA, GAO and the DOT Inspector General. These entities have criticized RSPA's database and analytical activities as being inadequate. States and local governments would not have access to more complete data to use for emergency response planning and training. It would also violate the HMTA. HMIS is the only source of national data for evaluating incident history of HM in transportation.

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): Research and Analysis

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
708	684	714	+30

PROBLEM STATEMENT NO. 1:

Research on HM safety problems, packaging and operational controls is critical to support regulatory development and analysis, international standards-setting activities, and the evaluation of exemptions. The knowledge gained is essential to develop safety standards that minimize the risk of HM transportation and the burden on industry, allow maximum operational flexibility, and enhance international competitiveness.

APPROACH:

A coordinated research, development, and data integration effort is required to fulfill the potential of ongoing projects, including:

- identification of significant HM shippers by highway and by rail;
- scope and nature of the safety problem represented by low volume/infrequent shippers of HM;
- feasibility and use of bulk package tracking systems to monitor HM container integrity and the scope and nature of the shippers involved in this activity;
- technology-based options for tracking, identifying, and monitoring HM shipments;
- costs and the effectiveness of the current HM communication requirements, and technology options;
- validation and development work on methodologies for analyzing HM transportation patterns.

Anticipated benefits include HMS' ability to: maintain surveillance over the complexities of the HM transportation system to detect emerging issues for informed legislative and regulatory attention; enhance HM transportation safety in an efficient and cost effective manner; and enhance the ability of State and local governments to deal with HM transportation issues in partnership with the Federal government.

ACCOMPLISHMENTS:

The research and analysis program has produced:

- revised Hazardous Materials Routing Guidelines for highway route controlled radioactive and other HM;
- revised and expanded HM incident reporting requirements and procedures; and user-access programs for HMIS and registration data;
- a preliminary analysis of the safety benefits of truck tracking technology;
- a review of HM national rail transportation patterns;
- an assessment of HM data resources available to State and local governments;
- a study comparing HMIS incident data with similar data collected by the States of New York, New Jersey and California; and
- completed a draft interim report on shipper volumes, highway and rail accident rates, and methods for analyzing hazardous materials transportation patterns. The study identifies chemicals which account for at least 80% of truck shipments of non-fuel hazardous chemicals in the United States.

PLANNED FOR FY 1994:

A total of $289,000, an increase of $20,000, is requested to support ongoing and new research projects. HMS will study the safety benefits of intermodal tracking technologies and will examine computerized risk assessment and management techniques to streamline its own regulatory development and analytical process. HMS will complete a technical guide for State and local governments on whether and how to conduct commodity flow analyses. HMS will also analyze the information to be derived from the registration program and effectively integrate these data with the HMIS and FHWA's Office of Highway Safety's policy and planning process. HMS will begin evaluating the HM information collected through the 1993 Commodity Flow Survey and Truck Inventory and Use Survey. Studies to identify significant shipper volumes, highway and rail accident rates, and methods for analyzing hazardous materials transportation patterns will be completed.

CONSEQUENCES OF NOT FUNDING:

Critical policy decisions and regulatory performance goals will be hampered by lack of accurate and reliable emergency planning, commodity flow and other data analyses. Efforts to modernize and develop tools to implement technological innovations effectively in this area will face significant schedule and performance delays.

PROBLEM STATEMENT NO. 2:

The HMR affect most technology-based industries. Through the development of new products and more competitive operations, these industries create new HM, new ways to package and transport HM, and technologies to inspect and test current transportation equipment. Implementing these concepts often requires rulemakings or approvals or exemptions, which in turn are dependent on technical knowledge and analysis for their development. A continuing reevaluation of the HMR is required to keep pace with new developments.

APPROACH:

HMS contracts for studies that use accident experience, information, science, and engineering to identify specific safety problems and to develop countermeasures and regulatory requirements. This diverse technical program is divided into three broad areas: packaging technology, hazard classification, and operational controls.

ACCOMPLISHMENTS:

Based on technical research, RSPA adopted new requirements for cargo tanks (HM-183) used to transport HM and performance-oriented packaging (HM-181). HM-183 is the first comprehensive revision of cargo tank regulations in over 20 years and is a significant safety initiative. HM-181 makes major changes to HM classification, hazard communication, packaging, and handling requirements. It contains many safety improvements, simplifies the regulations, and brings U.S. regulations into harmony with international regulations. Research has also provided the information necessary to develop and support U.S. positions before international standards setting organizations such as the United Nations, and the International Atomic Energy Agency. It has been used to support the U.N. classification of poisonous materials, organic peroxides, and explosives.

In FY 1993, RSPA is performing immediate evaluations and analyses of operational controls, classification criteria, and packaging and performance standards. RSPA initiated the development of a test method to determine self-accelerated decomposition temperatures for thermally unstable materials based on Accelerating Rate Calorimetry (ARC). In addition, a multi-year project at the Sandia National

Laboratory on the development of specific accident survival performance criteria for the packaging of bulk quantities of highly toxic HM and an evaluation of the integrity of certain DOT specification packaging for radioactive materials will be completed.

PLANNED FOR FY 1994:

HMS is requesting $425,000, an increase of $10,000, to perform evaluations and analyses of operational controls, classification criteria, and packaging and performance standards. In addition to continuing ongoing projects, several new projects will be initiated in FY 1994.

Shippers are continually seeking stronger and lighter weight packaging for improved efficiency and productivity in the transportation of gases and pressurized liquids. High strength metals and composite material make such efficiency and productivity improvements possible, but these materials have failure modes not fully addressed by current acceptance and requalification regulations. One project will address the design, testing, and retesting requirements for full composite cylinders. At this time, little is known about the structural integrity and degradation modes or appropriate nondestructive testing methods for these cylinders. Before specifications and regulations can be developed, research must be conducted to determine suitable design, testing, and retesting procedures.

A second project will address the development of a requalification procedure for high strength metal cylinders. Certain aluminum cylinders have been found to be subject to sustained load cracking. If not detected, these cracks may result in cylinder failure. This project will attempt to develop a reliable nondestructive test procedure to detect and determine the size of cracks and acceptance criteria for cracks detected during requalification testing.

A third project will address possible defects in the current methodology for testing radioactive sealed sources during design, approval, and production. There is strong evidence that the current practice of using surrogate material in lieu of actual radioactive material gives erroneous results due to their thermal output differences. This project will attempt to resolve the issue or recommend alternates.

In the area of classification, we plan to revise the test methods and packing group criteria for oxidizers in support of the U.S. position at meetings of the United Nations Group of Experts on the Transport of Dangerous Goods. We will also complete development of a test method for assessing the hazards of thermally unstable materials based on determining self-accelerated decomposition temperatures using ARC. In the area of operational controls, we plan to evaluate the current transportation index system for radioactive materials and consider improvements to provide greater information to emergency responders. The current system is used worldwide to facilitate the control of radiation exposure to transportation workers and criticality for multiple packaging. Emergency responders need additional information to indicate the level of exposure risk they face. In most cases, the perceived risk is substantially greater than the actual risk, which delays medical help for injured persons and resumption of normal transportation operations.

CONSEQUENCES OF NOT FUNDING:

Without adequate funding, RSPA will not be able to continue multi-year research programs or initiate new research programs. This would adversely affect RSPA's ability to evaluate new technologies, incorporate changes into the HMR, and provide the technical information necessary to adequately represent the U.S. position in developing international HM regulations. This could have a negative impact on our trade balance.

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY **(in thousands):** Regulation Compliance

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
250	300	386	+86

PROBLEM STATEMENT:

Packagings are critical to the safe transportation of HM. HMS needs to determine the extent of manufacturer compliance with the HMR to protect the public and the environment from unintentional release of HM.

APPROACH:

Packagings can now be manufactured in any number of ways, as long as they can meet the performance testing requirements. Testing will, therefore, become a much more crucial part of the enforcement program. In fact, the amount of testing will increase dramatically from the present level, since testing may be the only means of gathering evidence to support civil penalty enforcement actions. RSPA's HM enforcement program is focused principally on packaging: how it is made, how it is tested, how it is used, and how it is requalified. Testing performed by contractors assists HMS in identifying manufacturers who are not in compliance so that appropriate enforcement action can be taken to gain compliance.

ACCOMPLISHMENTS:

RSPA has contracted with a private entity which purchases packagings and tests them based on procedures developed for RSPA. The contractor has provided RSPA with preliminary reports on failures of steel drums and both low and high pressure cylinders. This information, furnished prior to the official test reports, has enabled the enforcement program to plan its strategy for dealing with noncompliance. The contractor also identified a manufacturer of drums of which RSPA was previously unaware.

PLANNED FOR FY 1994:

Funding in the amount of $386,000, an increase of $86,000, is requested to expand this effort. The testing program needs to be expanded and reoriented to include testing at the level required for performance-oriented packaging. In addition, testing standards produced prior to publication of HM-181 must be modified to conform to the United Nations packaging standards. In addition to the primary contractor, a second contractor may be needed to avoid a conflict of interest in the event the primary contractor becomes involved in an enforcement action. Cylinder testers are third party certifying laboratories subject to regulations under HM-181. They bear responsibility for non-compliance with the regulations. If an action were pending against the primary contractor, RSPA would go to a second tester to support the case. A second contractor would also be used to test DOT specification packagings that are still being manufactured.

CONSEQUENCES OF NOT FUNDING:

The testing program complements the inspection program and extends its scope. Inspectors perform inspections at manufacturing facilities, and contractors purchase packagings and test them for compliance. Both programs provide information about compliance. If package testing cannot be performed, RSPA will be prevented from effectively monitoring manufacturers and shippers. Also, cases may no longer be made without testing to support RSPA's claim that they do not meet required performance standards.

RESEARCH, TECHNOLOGY AND ANALYSIS PROGRAM

FY 1994 BUDGET REQUEST

MISSION

RSPA's Research, Technology and Analysis (RT&A) program pursues a crosscutting systems approach to transportation issues. This approach provides the Secretary with a critical counterbalance to the modal perspective prevalent in the combined multibillion dollar research, information and emergency preparedness programs of DOT's operating administrations. RT&A program efforts are focused in the following five distinct areas:

Aviation Information Management - Provides consistent and comprehensive financial and statistical economic data on individual air carrier operations and the air transportation industry. Approves and disapproves tariff applications by international air carriers.

Emergency Transportation - Serves as DOT's crisis manager, shaping DOT's preparedness for and managing response to transportation emergencies arising from natural disasters, civil disorders and threats to national security of a changing world environment.

Research and Technology - Provides extensive technical support for the Administrator in his dual capacity as Chairman of DOT's R&D Coordinating Counsel and Chief Science Advisor to the Secretary. On behalf of the Secretary, operates a system which ensures Department-wide coordination of R&D, university research, technology transfer, and radionavigation and telecommunication systems.

The RT&A program also encompasses two special facilities, VNTSC and TSI, which impact all three areas of the RT&A program, but receive no direct appropriations.

The John A. Volpe National Transportation Systems Center (VNTSC) in Cambridge, Massachusetts is a national center of transportation and logistics expertise. In support of Departmental policy objectives it anticipates future national, state, local, and international transportation and logistics issues and requirements, and responds to current needs and priorities.

The Transportation Safety Institute (TSI) in Oklahoma City, Oklahoma, is a national center of educational and technical assistance in transportation safety and security. It is DOT's only intermodal training institute with responsibility for all categories of users: federal, state, and local governments, private sector organizations and international agencies.

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS
Element: Airline Statistics

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	35	35
($000)		
Personnel Compensation and Benefits	$ 2,234	$ 2,162
Operating Expenses	84	82
Total Contract Programs	300	289
Breakdown of programs:		
Research/Systems Analysis	18	18
Enforcement	30	30
Data Services Consultation	24	24
Information Processing	228	217
	$ 2,618	$ 2,533
Additional funds allocated from the Program Support activity for communications, utilities, WCF and misc. costs:	448	329
	$ 3,066	$ 2,862
Electronic Tariffs*	1,000	1,000

* Electronic Tariffs $1 million contract program is fully funded by a credit in the appropriation language, which is treated as an offsetting collection.

AVIATION INFORMATION MANAGEMENT

FY 1994 BUDGET REQUEST

MISSION

Aviation Information Management comprises two major programs: Airline Statistics and Airline Tariffs.

The Airline Statistics (AS) program's mission is to provide the U.S. government with consistent and comprehensive financial and statistical economic data on individual air carrier (airline) operations and the results of operations by the air transportation industry. This currently encompasses about 210 U.S. airlines and about 200 foreign (non-U.S.) airlines. The AS program also provides computer-based special data project support services to DOT users.

DOT uses the airline economic data and special computer project services to support policy initiatives, and to accomplish safety and international air travel responsibilities. The airline data are a significant component in DOT's inter-modal data banks because most interstate and international commercial passengers travel by air.

Other U.S. government agencies use DOT's airline economic data. For example, Department of Commerce uses the data to facilitate international commerce and tourism, the Department of Labor uses it to compute productivity and consumer indexes, the U.S. Air Force utilizes the data to conduct its military charter programs, and the Department of Justice uses the data to manage its customs operations and to make anti-trust decisions.

State and local governments use the data to advocate air services and facilities. Airlines, airframe and engine manufacturers, financial institutions, and academia use the data to maintain and expand the industry, advance U.S. air technology, and develop research.

The amended Federal Aviation Act of 1958 (FAAct) and DOT legislation provide perpetual authority for the AS program to require airlines to comply with its accounting, reporting, and record retention requirements. The FAAct allows civil penalties to be assessed for failure to comply.

The AS program resources are located at DOT headquarters in Washington, D.C. with a field office in Anchorage, Alaska.

The Airline Tariffs program is responsible for administering the Department's program of air carrier tariff filings. Tariffs are filed in accordance with the Federal Aviation Act of 1958, as amended, and 14 CFR Part 221 of the Department's regulations. U.S. and foreign air carriers must file the tariffs setting passenger fares, cargo rates, additional charges, and the rules related to the application of the fares and rates, where the tariffs are applicable to international air transportation.

POSITIONS

New: 0

No new positions are requested in FY 1994.

PROGRAM: AIRLINE STATISTICS

ACTIVITY (in thousands): Research and Systems Analysis

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
18	18	18	0

PROBLEM STATEMENT:

The challenge for research and system analysis is to determine what data is needed by the DOT to fulfill its air transportation program and advocacy roles, to decide whether to obtain the data from existing sources, if any, or whether to burden air carriers with additional data submissions, and then to develop and maintain appropriate systems based upon these decisions.

The AS program studies the air transportation industry's operations, practices, and procedures in order to align DOT information regulations with the industry's regular and ongoing business activities. The objective is to minimize government intrusion on business and eliminate unnecessary reporting burdens.

Table A

AS Program Burdens	FY1990	FY1991	FY1992	FY1993	FY1994
Industry Burden Hours	103000	76000	86000	90300	94700
Number of Air Carriers	407	407	425	430	450
Burden Hrs/Air Carrier	253	187	202	210	210

The airlines' existing accounting and reporting systems are analyzed, and alternative, less burdensome systems that may provide the needed data are explored. Typical products of this work include new accounting, reporting, or record retention regulations, or revisions of existing rules.

Once rules and regulations are in place, air carriers do not always understand the requirements which mandate the collection, classification, and submission of uniform data in a timely manner. A critical objective of this activity is to ensure that the airlines understand their responsibilities and obligations with respect to airline data accounting, reporting and record retention.

APPROACH:

In order to implement DOT program requirements for economic information, RSPA's accounting, reporting and record retention regulations are routinely analyzed every three years or less, from a zero based viewpoint, to determine costs and benefits, specific data needs, and possible alternatives to direct collection.

Accompanying work includes overall systems design, rulemaking, and review of air carrier practices and procedures to assure compliance as well as to develop imaginative, alternative, less costly sources of quality data.

A solution to the problem of airline staff understanding what is required is addressed by direct communication with air carriers who may not comply with RSPA's regulations by spending extra time writing to them and holding instructional meetings with them individually or in industry groups as necessary.

ACCOMPLISHMENTS:

The AS program uses 5 of its 21 positions in research and systems analysis activities. About two are required for communicating with air carriers on their information obligations, and for handling waivers, extensions, and other exceptions work (see Table B).

Table B

System Administration	FY90	FY91	FY92	FY93	FY94
Airline Instructions	253	26	26	127	135
Industry Directives	13	10	12	12	12
Waivers	37	22	25	33	26
Due Date Extensions	66	50	31	50	65
Special Reports	8	13	8	10	12
Misc. Del-Auth. Action	160	219	95	120	145
Confidentiality Req.	206	121	162	148	198
Access Restricted Data	215	190	102	157	200
Total	958	651	461	657	793

Recently we have seen a decline in requests for waivers and requests to extend due dates. But substantial increases have been experienced with requests for formal interpretations of regulations and requirements for special report submissions (up 62 percent in CY 1991), and requests for confidential treatment of reports submitted and access to restricted release data (up 33 percent in FY 1992). Each of these activities requires time consuming carrier contact and correspondence.

About three of the five positions are required for system reviews, rulemaking activities, and other regulatory functions. The most significant recent accomplishment has been implementation of the new T-100 system, which integrates four previous systems into a single modern data collection system. While the system reduces the summarization burden for the air carriers, the system shifts the burden of processing the detailed data into data summaries to DOT. This RSPA's responsibility of producing the data summaries, increases the AS program workload.

PLANNED FOR FY 1994:

In FY 1994 we will attempt to finalize a rulemaking that will implement a survey system for collecting improved Passenger Origin-Destination (O-D) data reporting. A major research initiative begun in late FY 1993 and continuing in FY 1994 will study alternative collection sources for O-D data. The data is required by OST and FAA programs, and mandated by the CAB Sunset Act of 1984. A new or different system concept may be warranted by the major changes occurring in industry ticketing practices. The research project will identify feasible alternatives, and be followed in late FY 1993 by proposed rulemaking. In FY 1994 we will finalize the proposed rulemaking, and begin instructing air carriers to implement the new, improved system by no later than January 1, 1995.

Also, in FY 1994 we will begin researching the data systems and reporting requirements for conversion to the metric system as required by Metric Conversion Act of 1975 as amended by the Omnibus Trade and Competitiveness Act of 1988. Metric conversion must be completed by 1997.

CONSEQUENCES OF NOT FUNDING:

Existing resources are the minimum amount necessary to avoid major disruptions in airline statistics systems. If this "no-margin" funding level was decreased, existence of current airline statistics systems would be jeopardized. Data required by OST, FAA and the CAB Sunset Act of 1984 would be threatened.

PROGRAM: AIRLINE STATISTICS

ACTIVITY (in thousands): Enforcement

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
30	30	30	0

PROBLEM STATEMENT:

Airlines do not always comply with target dates and quality guidelines in the submission of reports. The primary objective of RSPA's AS program enforcement activity is to determine whether airlines are in compliance through the receipt, logging, copying and filing of airline reports, monitoring of the timeliness of the airlines' reports, and communication with airlines on problems. This often leads to formal enforcement actions.

A second problem is the need to identify and then obtain correction of inconsistencies and inaccuracies in airlines' reports. These are not mathematical errors, which are usually identified and corrected during routine information processing. They are problems that show up between schedules and data sets for one period or over time that suggest the need for further investigation. Compliance investigations by desk work at headquarters is the solution.

A third problem is that airlines' source data gathering and accumulation systems can only be checked in the field, by audits at air carrier offices. This field work is necessary to ensure the uniformity of the airline statistics we gather.

APPROACH:

Untimely reporting problems are addressed by gradual escalation of pressure on airlines to get them to submit reports on time. This begins with cordial follow-up letters ten days after reports are due. Later steps involve warning letters and civil penalties. Data quality problems are addressed by special assignment of existing staff to critical compliance investigations.

ACCOMPLISHMENTS:

Three of the 21 program positions are now spent on the enforcement problem.

One position on average is devoted to enforcement activities involving receipt and control of reports. The reports receipt and control workload is as follows in Table C:

Table C

Reports Handling	FY90	FY91	FY92	FY93	FY94
Paper Reports Per Year	8489	8412	8833	9275	9740
Computer Media Rpts/Yr	1878	1740	1825	1915	2010
Total Reports/Yr	10367	10152	10658	11190	11750
U.S. Reporting Carriers	227	213	229	230	240
Foreign Reptg. Carriers	180	194	196	200	210
Total Reptg Carriers	407	407	425	430	450

The AS program spends $31,000 annually for Transportation Computer Center (TCC) mainframe resources to operate a system which monitors and tracks each airline and its reporting status. A profile of each air carrier's reporting obligations is entered into an automated system. A punctuality report is issued each quarter to show air carriers how they did, and how their competitors did, during the most recent six months. Use of this system, and a lot of staff time following up with delinquent air carriers, has helped to reduce the average number of days late per report, as shown in the following table.

Table D

Avg. Days Late/Report	FY90	FY91	FY92	FY93	FY94
U.S. Majors	2.4	1.0	0.5	0.4	0.4
U.S. Nationals	3.2	4.4	3.7	3.5	3.0
U.S. Regionals	9.4	5.4	8.2	8.0	7.5
Others	11.5	9.7	9.3	8.5	8.0
Foreign	18.1	25.3	14.0	13.0	12.0

Another 0.5 position on average is spent on referring air carriers for formal action by the General Counsel, and coordinating with them as the carrier is pursued. During FY 1992 we referred 42 carriers for enforcement, of which 24 (or 56 percent) were foreign

airlines with T-100(f) reporting problems. The counsel assessed seven carriers $164,000 in civil penalties in FY 1991 for failure to file reports. Half way through FY 1992, nine carriers have been assessed $179,500, six being foreign airlines.

Table E

Enforcement Activity	FY90	FY91	FY92	FY93	FY94
Total Carriers Referred	38	42	45	50	55
Total Carriers Enforced	6	7	8	9	11
Total Civil Penalties ($000)	103	164	200	165	175

Another 0.5 position on average involves compliance investigation. In recent times it has been necessary to divert existing AS program staff to compliance investigations.

The third staff position will be devoted to enforcement activities related to the audit problem, to help plan and coordinate, to facilitate the work. It takes extensive support work to assist IG auditors on-site, to explore their findings, and to implement their recommendations.

PLANNED FOR FY 1994:

DOT will continue to monitor and track on-time reporting by all categories of air carriers.

Desk reviews will be an effective strategy for identifying problems in the quality of an airline's statistics. Desk or compliance reviews help to identify changes, and the impact of changes, in the air transportation industry. The reviews can supplement on-site audit work by identifying problem areas for closer scrutiny.

The quality of air carrier data and reports is a function of the accuracy of the carriers' systems for collecting and classifying source data. The only way to test these components is by on-site audit or review. The DOT Inspector General has recently tested a few Alaskan carriers in conjunction with mail rate audits. The systems of two were so poor that the IG labeled the data as not useable for DOT decisions. The data systems of the sixty plus large air carriers have not been tested for more than ten years. The IG will begin in late FY 1993 a program for on-site audits, to look at key and critical data items produced by the airlines' ongoing financial and statistical systems. We must spend extensive time supporting these on-site auditors, then reviewing their findings, and finally implementing or pursuing their recommendations.

CONSEQUENCES OF NOT FUNDING:

The current level of resources available for enforcement activities is the base minimum amount necessary to handle the more than 410 air carriers and 12 major airline data systems under our purview. If this level of funding was reduced, we would not be able to develop data to assist in reacting to air carriers who are delinquent in meeting their obligations, or who are submitting unacceptable quality of data. The DOT has narrowly missed making an incorrect public route decision based upon erroneous data, which fortunately was corrected at the last moment.

PROGRAM: AIRLINE STATISTICS

ACTIVITY (in thousands): Data Services and Consultation

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
24	24	24	0

PROBLEM STATEMENT:

The timeliness, coverage, and accuracy of the aviation economic data banks produced are of critical importance. They are large, complex, and can be difficult to use if one is unfamiliar with their content, their application, and their idiosyncracies. The AS program must keep DOT users, Airline Statistics program contractors, and others informed about these data banks. Such DOT users' knowledge facilitates recurrent processing, facilitates the users' correct application of data to problems before them, and resolution of data concerns.

APPROACH:

This activity includes user discussions of data content and quality, and the application of airline statistics to DOT program problems and special projects. It also includes building and maintaining major, computer systems and computer programs needed for the processing of key airline information systems. Objectives are: to maintain a key, core staff of AS program experts, with substantial institutional knowledge, to perform a user and information processing assistance function that provides expert advice, guidance, counsel and project services; and to facilitate the best possible use and application of airline economic data maintained by the AS program to solve DOT program problems and support the decision making process.

A primary focus of work in the ADP services area will be continued development of the project to upgrade or replace outmoded and inefficient computer systems and computer programs over a multi-year period. The focus in FY 1994 will be to address the need to design, code, test, and implement a new computer system and computer programs to implement a revised O-D data collection system.

ACCOMPLISHMENTS:

The AS program is gradually increasing DOT users' self reliance through use of personal computers to access and manipulate the air carrier economic data banks. The primary benefit of this activity has been to control program costs and increase productivity, primarily in the areas of special project services. Users have become more capable of helping themselves and have narrowed the Airline Statistics program's role in the user servicing function. But as users become more proficient, they demand more sophisticated and detailed information about the data they are manipulating, which increases our role as data consultants.

Several specific accomplishments have contributed to this gradual change. For current data, TCC mainframe computer data banks have been implemented under data base management (dbms) software. This makes it easier for users to access airline statistics without RSPA's direct involvement, or to download data to a personal computer for further manipulation. This work increases the need for dbms technical support of users by the airline statistics staff, as well as increased coordination with TCC and the software vendor. For historical data, the program has begun using CD/ROM technology to give users access to huge amounts of data on their personal computers. This avoids TCC mainframe computer costs, gives users wide research options, and lowers user requirements for service.

Five of the 21 positions are utilized in the data services and consultation functions. Half of this is spent on ADP services and systems development and half on data consultation work. As appropriate, contractor funds are employed to service any user needs that cannot be met with Airline Statistics staff.

PLANNED FOR FY 1994:

We will continue the Data Services and Consultation activity at the current "no-Margin' level. Basically no new activities are planned at this level.

CONSEQUENCES OF NOT FUNDING:

These activities must be staffed at existing base levels in order for DOT to derive any useable benefits from its AS program. If the resources are not provided then it will severely restrict our ability to identify data quality problems and provide quality data.

PROGRAM: AIRLINE STATISTICS

ACTIVITY (in thousands): Information Processing

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
228	228	217	-11

PROBLEM STATEMENT:

RSPA needs to regularly assemble aviation economic information required by DOT programs such as international route awards, and to quickly ready it for release and use by DOT programs. Manual and computer processing are both used to ready the data for use, including the validation and correction of airlines' submissions, and production of data banks, listings, and publications.

APPROACH:

The Airline Statistics program collects, processes, and prepares for use economic data submitted by air carriers. The work includes recurrent validation and processing of airline data, preparation of periodic reports, preparation of computerized data banks that are directly accessed by users, and servicing of ad hoc requests for computer services involving aviation data. Twelve major systems are now operated by Airline Statistics.

The number of air carriers submitting reports is continuing at about 410, with some 215 being U.S. carriers. These U.S. carriers submit 74 percent of the more than 10,000 reports submitted each year to the AS program. These numbers have gradually declined from a high of almost 18,000 some ten years ago. But workload has not declined because the reports eliminated were reports that received little or no processing, which is why they were eliminated. In fact, the T-100 system increases the AS program's workload for U.S. air carrier's reports because it collects nothing but detailed data. The DOT's AS program now must create and validate the quality of the summary traffic data reports previously generated by the airlines.

ACCOMPLISHMENTS:

The Airline Statistics program has met the aviation information mandates of the CAB Sunset Act of 1984. This Act requires the collection and dissemination of basic domestic passenger movement statistics including both origin and destination and non-stop market data.

Eight of the program's 21 positions are used in this activity. Most of the data is processed using TCC's mainframe computer. The newer systems, such as T-100 traffic data, also use personal computer processes. This is augmented by contractor staff for data administration work.

PLANNED FOR FY 1994:

In FY 1994, RSPA's Airline Statistics program is requesting $217,000 in appropriated funding which, together with an anticipated $500,000 user reimbursement from the Federal Aviation Administration will provide the core funding for the program's information processing work. Additionally, RSPA estimates collections from other users of the data in amounts ranging up to $350,000. As the program is currently operated, about $800,000 is required for contract support services ($340,000) and data administration work and for use of TCC's mainframe computer and related facilities ($475,000) to process data. The balance is requested to purchase data banks maintained by others.

Depending on the extent to which RSPA is able to collect from users of the data, it may be possible to accomplish incremental steps toward system modernization which could yield long-term reductions in operating costs, e.g. converting from mainframe to PC-based networks.

CONSEQUENCES OF NOT FUNDING:

These activities must be staffed and funded at the requested level in order for DOT to derive expected benefits from its Airline Statistics program.

Reducing the data products and services provided solely by the OAS would severely limit DOT's ability to respond effectively to air carrier operations and air transportation industry issues. The DOT relies heavily on the available accurate financial and traffic statistical data provided by the OAS's major data systems.

PROGRAM: AIRLINE TARIFF FILING SYSTEM

ACTIVITY (in thousands): Tariffs Automation

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
1,000	1,000	1,000	0
Offsetting Collections:			
1,000	1,000	1,000*	0

* The $1 million requested for this FY 1994 contract program will be fully offset by the collection of $1 million in user fees credited to this appropriation. The $1 million contract program is not counted in the budget authority request.

APPLICATION OF USER FEES OF $1 MILLION - FY 1994:

$450,000	Continued programming and systems developments for automation and operation of passenger and cargo tariffs.
$550,000	Systems development, contract support, research and evaluation and final implementation of front-end systems for tariff processing to provide for the most prompt or immediate approvals, and to continue to be able to provide for public access to the official tariff files maintained by the Office of Automated Tariffs.

PROGRAM OBJECTIVE:

RSPA will increase productivity by processing tariffs quicker and acting upon almost all filings immediately or within two days after the filing date, with fewer errors so that two percent or less of filings are disapproved, with a concomitant reduction in costs to the international airlines of $15 million each year. This will be accomplished through the complete automation of international aviation tariff filings.

PROBLEM STATEMENT:

International air carriers are still regulated by DOT, and section 403 of the Act requires tariffs for changes in passenger fares, property charges, and cargo rates (as well as the related rules containing conditions for the applications of the price changes) to be filed with the Research and Special Programs Administration's Office of Automated Tariffs.

Until FY 1990 tariff filing was a manual process. Over 1,000 tariff pages were filed each day; the number of page changes filed has been increasing each year since 1983, and increased even more rapidly in paper pages and electronic pages from FY 1990 to date. Our data show a dramatic increase in volume of total paper and electronic pages since carriers began official filing of electronic fares. From these data, it is apparent that through early 1992, tariff filing volume increased over 300% compared with 1983. In 1990, after electronic filing began, actual pages decreased to 123,679 and electronic page equivalents contributed an additional 445,764 pages. In 1991, there were 127,100 actual pages and 328,718 electronic pages.

The trend indicates tariff filings are fully recovering from the industry downturn that moderately depressed volume during FY 1991 and the first few months of FY 1992, leading us to project 400,000 or more pages of filed tariffs, consisting of a combined total of actual pages and their electronic equivalents, in FY 1993 and 1994.

This huge increase in tariff filing volume, and the additional workload associated with tariff automation, has been handled without any increase in 13 authorized staff positions, of which 4 staff years, representing portions of the workload of the 13 staff persons, are allocated in tariff automation projects (automated filings control, edits and monitoring, rulemakings, regulatory analyses, burden and benefits analyses, contracts, computer system controls and evaluations). A visually impaired computer technician also is included in tariff automation projects. In addition, 9 of the 13 staff years are allocated to tariff processing tasks (tariff certifications, tariff interpretations, tariff analysis, approvals and rejections, waivers, letters, regulatory decisions, and appeals of regulatory decisions) and support for tariff processing (user fee funds control, procurement, administrative tasks, assistance for public access to tariffs, assignment of tariff numbers, workload and management reports, tariff receipts and files maintenance), which includes portions of the staff years of seven tariff analysts, two supervisory and four support persons.

The large tariff filing volume, and associated paperwork, imposed substantial costs on both industry and government and, prior to FY 1990, required substantial overtime and created a burden on resources available to process the tariffs. Even though many airlines had the capability of filing electronically, DOT was not able to accept electronic filings prior to FY 1990. Even after electronic fare filings began, many entailed associated paper filings containing the conditions for the application of the electronic fares. The technology now has advanced to the point that the Office of Automated Tariffs could accept and carrier could submit all tariff filings on a completely electronic basis, which would increase our productivity, while saving the air carriers $15 million each year.

The antiquated manual process of processing tariff filings, still in effect for rules and cargo tariffs during FY 1993, hinders the industry's ability to respond rapidly to market changes in an extremely competitive environment. The gap between the industry's electronic speed of response to changing market conditions and the Agency's manual processing of a growing volume of hard copy filings will continue to grow unless specific system enhancements are made. The Department's existing electronic tariff system (ETS) is being improved. Continuing development and increased automation of tariff receipts is essential to maintaining the total quality of tariff processing, and providing the rapid turnaround of tariff approvals that the Department and the industry have come to expect from the electronic tariff system, speed which facilitates the air carrier marketing efforts and increases competition. Thus, we plan to provide automated systems in support of electronic tariff filings to further improve the speed of the review process involved in tariff analysis and approval. Failure to stem this gap could lead to delays in carrier implementation of competitive rates and other innovations, retarding competition and costing the industry an estimated $3 million each year.

APPROACH:

In 1989 DOT published a rule which allowed the international airline industry to file passenger fares electronically with DOT and withdraw the requirement for manual posting at pricing locations. After an experimental program (July 1989 - December 1989), the automation of international passenger tariffs became formally operational. Automation of passenger fare tariffs was only the first phase of an across-the-board tariff automation program. Test filings of electronic passenger rules began in FY 1992 under a Pilot Program to demonstrate that the electronic filing system will accommodate electronic rules text. In FY 1994 RSPA will attempt to finalize a rulemaking to complete the automation of the tariff filings. We expect this to save the industry an additional $3 million each year, which combined with the $12 million of savings from the partial electronic filing already approved will save about $15 million each year.

ACCOMPLISHMENTS:

The primary accomplishment to date is the development of an interim electronic tariff system that accepts electronic filing of passenger fares (prices) from U.S. and foreign air carriers for their scheduled international services.

RSPA/VNTSC has been supporting this program since FY 1986 by developing comprehensive ADP requirements for an electronic filing system, developing a data model, assessing hardware and software to accept filings electronically from the industry agent's mainframe at the Airline Tariff Publishing Company (ATPCO). This strong support in the systems analysis, hardware requirements and computer programming areas has been an absolutely essential component in the development of the Department's Electronic Tariff System.

In December 1989 the electronic filing system was established and airlines are now filing passenger fare changes electronically. About 70% of all tariff filings are electronic, and the user filing fees collected from the industry exceed the entire cost of the automation effort. Under the new automated system, RSPA's Office of Automated Tariffs' objective is to process most tariff filings very rapidly. Our experience to date is that about 97% of filings are approved in a short-notice, several-day period. Filings, except those that are flawed or incomplete, should be approved within two days after the filing date (as opposed to the eight or more days formerly required under the manual system), thus enabling airlines to respond to market changes more rapidly, enhancing competition.

The automated system has saved the industry about $12 million in labor and administrative costs during the first year of operation. Complete automation of electronic passenger rules in FY 1994 would bring the annual savings to about an estimated $15 million. In addition, competition is enhanced because airlines are able to respond promptly to changing market conditions without being hindered by the time-consuming paper filing process. Automation itself has increased the filing volume by making it easier for air carriers to file tariff changes.

Increased volume as a result of automation has resulted in a self-sufficient DOT program, and FY 1994 user fee collections are estimated to reach or exceed $1 million. Automated tariff filings has also fostered international airline competition due to a 65% reduction in government tariff action time. Because all aspects of airlines tariffs, fares, rules and cargo rates will be automated and integrated, tariff analysts will be able to review tariffs for compliance with regulations in much less time. The official tariff data base of approved tariff matter is an essential input into most airline computer reservation systems.

PLANNED FOR FY 1994:

The FY 1994 program will concentrate on completing a rulemaking to establish a fully developed electronic tariff system.

The scheduled improvements to the electronic tariff filing system will be supported from user fees for the official air carrier tariffs maintained by DOT. The attached schedule explains the source of such funds and their proposed application.

RSPA will also explore the requirements and capabilities of an intelligent, or "expert" system, in order to keep pace with the rapid changes in the air transport industry. Consideration of applications programming to facilitate the tariff certification and public access requirements of DOT, is essential to the plans of the Office to ensure its ability to keep up with the pace of industry's automated filings. Should the filings continue to increase at the extraordinary rate that has been demonstrated in recent years, complete automation of both filings and receipts of tariffs may be necessary to enable the Office to meet our and the industry's high expectations for prompt and quality decisions on tariff filings.

Table F

ELECTRONIC TARIFF SYSTEM (ETS)
SOURCES OF TARIFF FILING FEES IN THE ETS - FY 1994 ESTIMATES

	TARIFF PAGES AT $2	STP'S AT $12	E-RULE PROV. AT $2	CHARGED E-RECORDS AT $0.10 A RECORD	TOTAL USER FEES
OCT 1993	$5,652	$ 60	$15,000	$ 70,000	$ 90,712
NOV	5,424	180	15,000	70,000	90,604
DEC	5,402	120	15,000	70,000	90,522
JAN 1994	$3,164	$120	$10,000	$ 60,000	$ 73,284
FEB	2,672	120	10,000	$ 60,000	72,792
MAR	4,198	120	10,000	80,000	94,318
APR 1994	$2,336	$ 60	$20,000	$100,000	$122,396
MAY	2,390	120	10,000	60,000	72,510
JUN	2,222	180	15,000	70,000	87,402
JUL 1994	$3,118	$ 60	$10,000	$60,000	$ 73,178
AUG	2,778	240	5,000	50,000	58,018
SEP	2,862	60	15,000	70,000	87,922
TOTAL FEES	$42,218	$1,440	$150,000	$820,000	$1,013,658
CHG. RECORDS	21,109	120	75,000	8,200,000	

ASSUMPTIONS FOR ESTIMATES:

1. Assumes electronic rules submissions in 1993 will be charged a user fee of $2 for each provision, and assumes cargo electronic submissions after September 1, 1994.

2. Estimate of impact of electronic rules filings and electronic cargo tariff filings is affected by the volume of charged e-records (some carrier filings of both e-records and STP's are exempt from user fees), a reduction in paper tariff pages filed and very few paper special tariff permission (STP) applications, since paper pages and paper STP's will be filed only by carriers that elect to use paper. Charged records are estimated conservatively at 8.2 million, and with the exempt

records, the total records volume estimate is in a range from 15 to 20 million for the year. More precise estimates are not possible, since air carriers file tariff revisions at their discretion and the intensity of price competition in any year is reflected in the volume of filings.

3. Assumes a user fee schedule as follows:

$ 2.00	Each paper tariff page
$ 2.00	Each electronic rule provision
$12.00	Each special tariff permission subject to fee
$ 0.10	Each electronic record (passenger or property) subject to fee.

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS
Element: **Emergency Transportation**

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	7	7
($000)		
Personnel Compensation and Benefits	$ 680	$ 572
Operating Expenses	112	109
Total Contract Programs	88	284
Breakdown of programs:		
Operational Readiness	38	80
Transportation Resource Mgmt	50	50
Crisis Management	--	154
Research and Development	0	0
	$ 880	$ 965
Additional funds allocated from the Program Support activity for communications, utilities, WCF and misc. costs:	92	70
	$ 972	$ 1,035

EMERGENCY TRANSPORTATION

FY 1994 BUDGET REQUEST

MISSION

Emergency Transportation (ET) programs provide the Secretary's staff for operational oversight and execution of Departmental activities in the area of transportation civil emergency preparedness and response for the full spectrum of crises. The programs fulfill the Secretary's statutory and administrative responsibilities for providing transportation services during emergencies to protect the public safety and national security.

Operational Readiness - Develop and implement training and exercise plans to maintain an operational organization of trained personnel and support systems which can be activated for any emergency situation. This organization provides immediate action to mitigate the effect of catastrophic disasters on the American people and protect the Nation's security.

Resource Management - Develop and maintain programs and systems to acquire civil transportation resources and prioritized movements to meet essential emergency demands, analyze transportation requirements generated by the emergency situation, and assess the impacts associated with providing transportation services in emergency operations to ensure that a viable transportation system is maintained.

Crisis Management - Provide the supporting infrastructure for the Departmental crisis management organization and leadership during emergencies which have multimodal impacts. This infrastructure includes supporting facilities, communications, reporting systems, and an automated information/decision support system.

PROGRAM: EMERGENCY TRANSPORTATION

ACTIVITY (in thousands): Operational Readiness

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
40	38	80	+42

PROBLEM STATEMENT:

RSPA is responsible for ensuring that DOT is adequately prepared to respond to the full spectrum of emergencies, supporting the relief and recovery of citizens touched by disaster and the national security. Operational readiness programs provide for plans and an organization to perform that response and a regional planning and coordination mechanism.

It is impossible to predict with certainty when a catastrophe will strike the U.S. A 1988 report from the U.S. Geological Survey predicts a 70% probability of a quake of Richter magnitude 7.5 or greater over the next 30 years along the southern San Andreas fault, which includes the entire Los Angeles Basin. This "big one" would devastate the city, including the transportation system, and kill 3,000 to 17,000 people, 100 times worse than the much heralded Loma Prieta earthquake.

California is not the only area facing a potentially devastating seismic risk. The New Madrid fault in the center of the U.S. was the scene of the greatest earthquake in the Nation's history, a trembler estimated at Richter 8.5. Seismologists now indicate that enough stress has built up along this fault to create a magnitude 7.6 event, potentially damaging an enormous area from St. Louis to Memphis. Much of the nation, and particularly Alaska, the Puget Sound, Idaho, South Carolina, and New England, faces some level of seismic threat.

Although earthquakes may represent the natural phenomenon with the greatest potential for catastrophic destruction, hurricanes should also be a source for concern. Historically, major hurricanes occur in cycles of about 22 years. We are now nearing the end of a "weak" cycle, during which only 10 major hurricanes struck the U.S. By contrast, the previous "strong" hurricane cycle produced 18 destructive hurricanes. Population has increased dramatically in the "Sun Belt" and some 44 million people now live in the danger-prone coastal counties from Texas to Maine. Insured property value is nearing $2 trillion. Clearly, it is not a question of "if" ET's operational readiness process will be needed, but rather "when."

APPROACH:

The Department's response to a catastrophic disaster is prescribed by the transportation element of the interagency Federal Response Plan (FRP), prepared and maintained by RSPA. ET's priority project in FY 1994 will continue to be the evolutionary refinement and implementation of the FRP. The cornerstone of DOT's plan is crisis management teams at Headquarters and the field, which will coordinate the transportation of relief supplies to the disaster area and provide federal assistance in the restoration of the transportation infrastructure. Assigned to these teams are nearly 600 DOT employees and 400 industry volunteer Executive Reservists. The regional program is developed and managed by RSPA through the Regional Emergency Transportation Coordinators (RETCOs), who are senior regional officials of the DOT modal elements. It should be noted that these same teams could respond to a national security crisis, should the Nation's transportation system be severely disrupted or overtaxed.

The principal operational readiness initiatives are an aggressive series of training sessions for the RETCOs and regional response personnel and participation in major national disaster exercises. RSPA's training program is essential, because team members perform emergency functions only as a collateral duty and require periodic "refreshers." In addition, this training integrates the Executive Reservists from the private sector into the federal organization.

The purpose of the large scale exercises is two fold. First, additional training for response teams is provided under highly realistic simulated disaster conditions. In addition, the simulation allows the evaluation of the practicality and effectiveness of crisis management plans and the development of corrective actions.

ACCOMPLISHMENTS:

RSPA has conducted training programs and exercises for many years. In 1992, for example, over 750 personnel participated in these activities around the nation. Through these well-established crisis management mechanisms, RSPA has ensured DOT's readiness for past emergencies without incurring the high fixed cost of a large permanent staff. Executive Reservists serve without compensation and participate at their own expense. The training RSPA has provided enhances their value to DOT and maintains interest at minimal cost. Likewise, since 1967, the RETCO system has provided another cost-effective and innovative means for achieving effective Departmental regional emergency management using existing DOT personnel and resources. Because of the effectiveness of this system, the Secretary was able to begin directing Departmental response actions within hours of the Loma Prieta earthquake and to respond instantly to the intense demands of Operations Desert

Shield/Storm, and DOT had its Regional Team in place to assist the victims of Hurricane Andrew even before the eye of the storm passed.

PLANNED FOR FY 1994:

In FY 1994, RSPA is requesting $80 thousand to the readiness of the people and processes that make up the Department's emergency preparedness program. The principal project will be the development and implementation of a comprehensive training and exercise program at Headquarters and in the field. At least 15 training sessions and several large scale practice exercises will be conducted for the 1,000 DOT crisis management and response personnel, including RETCOs and Executive Reservists. All response personnel are expected to participate in some form of training at least once every two years. Further, on average, there has been a 25% annual turnover rate in the cadre of response personnel. This program is expected to cost $55 thousand for contractor support in developing the training and exercise scenarios, events, and materials, as well as assistance in presentations.

Resource constraints in prior years severely reduced the availability of training and practice exercises for these crisis responders; A new Federal Response Plan was implemented in 1992; and radical changes in the world order have altered assumptions about the types of emergencies that might occur. For these reasons, training is needed now more than ever to ensure the necessary high level of preparedness.

As operating budgets throughout DOT grow more lean, RETCOs are less able to bear the costs of those expanding ET tasks which RSPA assigns on behalf of the Secretary. The operational costs of their collateral duties should be borne by the assigning organization. Accordingly, RSPA is seeking the modest amount of $2.5 thousand per RETCO (i.e., $25 thousand) for that purpose. This will provide administrative support at the minimum level necessary to maintain their continuing preparedness for emergencies, as well as logistical arrangements for training sessions. In addition, funding is provided for the RETCOs to participate in the Congressionally-mandated interagency safety reviews associated with commercial nuclear power plants. The RETCOs' staffs participate in approximately 50 such reviews each year.

CONSEQUENCES OF NOT FUNDING:

DOT's swift and effective response to emergencies has served the Nation's citizens well in recent years. Successful response requires support resources consisting of trained teams, effective communications and regional coordination. Failure to maintain the operational readiness of those resources impairs DOT's ability to respond rapidly and effectively in time of public need. This, in turn, will delay the delivery of critical relief supplies to the victims of disasters and hamper restoration of the transportation infrastructure. The cost to the public of this delay is incalculable.

PROGRAM: EMERGENCY TRANSPORTATION

ACTIVITY (in thousands): Transportation Resource Management

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
50	50	50	0

PROBLEM STATEMENT:

ET's Resource Management Program provides for the development and maintenance of a process to manage the Nation's civil transportation system in any emergency, whether catastrophic disaster, terrorism, or national security. This process provides the Department's senior officials and crisis response teams a management tool to acquire transportation resources and prioritized movements, meeting the military and civil transportation demands of the emergency. However, many existing plans are directed toward the now-obsolete "worst-case" demands of global nuclear conflict. Adaptation of the program to more contemporary concerns, including the new Federal Response Plan, will continue in FY 1994.

Looking at the Nation's security, the end of the "Cold War" has profoundly and permanently transformed our global military concerns. However, ethnic unrest, territorial ambition, proliferation of weapons of mass destruction, and economic depredation continue to sweep the world, planting the seeds of confrontation. The challenge to the Department of Defense (DOD) into the 21st Century will be to protect our interests around the world with smaller forces based increasingly in the U.S. The Congressionally-mandated Mobility Requirements Study reaffirms DOD's dependence on civil transportation assets for force projection to protect national interests in the regional conflicts which will result inevitably from global tensions. Emphasis is placed on the resource management programs managed by RSPA on behalf of DOT and the military - the Civil Reserve Air Fleet and the Military Traffic Management Command's Contingency Response Programs which provides the critical civil transportation services.

The end of the Cold War is also affecting the military strategy of NATO. Here, too, the focus is shifting from a large scale fixed attack from the Warsaw Pact to regional conflicts on the perimeter of the Alliance. The President accepted a new military strategy at the Rome Summit last year, providing a new, more mobile NATO rapid reaction force, which will require expanded civil support. The NATO Civil Aviation Planning Committee, on which RSPA/ET represents the U.S., will continue to be the pivotal body for assuring this support. Finally, the resource management process also supports the flow of relief and recovery resources into disaster areas under the Federal Response Plan.

APPROACH:

The emphasis for FY 1994 will be adaptation of current resource management plans into the 21st century. ET will continue to work with DOD to define transportation requirements as forces devolve to the ultimate 1995 levels. In cooperation with industry, military and intelligence agencies, and the federal transportation community, RSPA will conduct a comprehensive study of contemporary risks, domestic and international, and the potential impacts on transportation. This study will help us define new, more streamlined resource management strategies and implementation plans, which will then be captured in updated Departmental emergency standby directives. In addition, RSPA will continue to work directly with NATO staff to define the requirements of the evolving NATO strategy.

ACCOMPLISHMENTS:

RSPA has repeatedly implemented DOT's national security and domestic resource management plans and programs, both at the national and regional levels, during crises ranging from labor-management disputes to the Loma Prieta earthquake. Most recently, the Civil Reserve Air Fleet and the Contingency Response Programs, which are jointly administered and managed with DOD, were successfully executed in support of Operations Desert Shield/Storm. In a sense, DOT's resource management programs could be considered one small component of the Nation's military deterrent, which "won" the Cold War.

PLANNED FOR FY 1994:

In FY 1994, RSPA is requesting $50 thousand for "modernizing" the Department's resource management programs. First, a contractor will be engaged to reassess DOT's long range resource management mission in view of the new military strategy and the expanding requirements of the Federal Response Plan. The estimated cost of this study is $35 thousand. Residual risk scenarios will be identified. Then, the transportation demands of these scenarios will be assessed. Current DOT plans for management of the civil transportation system will be evaluated to determine their responsiveness to these demands. The DOT Operating Administrations, other federal agencies, and the military and intelligence community will be integral elements in this process. Certainly, a partnership with industry will also be sought, since we rely on that sector to implement the plans. Finally, the Department's experiences in past crises, most particularly Hurricane Andrew, Operations Desert Shield/Storm and the Loma Prieta earthquake, will be considered.

Once the assessment is completed, the large family of some 23 DOT emergency standby directives will be revised and reissued, as necessary. Again, contractor assistance, at the cost of $15 thousand will be secured for this monumental task, since the volume of directives totals nearly 2000 pages.

CONSEQUENCES OF NOT FUNDING:

The world is changing rapidly, and DOT's resource management programs must change apace. The military relies upon DOT to provide civil transportation for global force projection. Likewise, individuals affected by disaster look to us for the movement of essential goods and people. Failure to adapt will result in plans that are not responsive to contemporary risks, with grave consequences for the Nation's security and the safety and well being of our citizens.

PROGRAM: EMERGENCY TRANSPORTATION

ACTIVITY (in thousands): Crisis Management

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	154	+154

PROBLEM STATEMENT:

This program activity was formerly subsumed within operational readiness and resource management activities. RSPA is responsible for developing and maintaining the Secretary's crisis management organization. The infrastructure for this organization includes facilities, communications capability and, perhaps most importantly, a capacity for rapid information acquisition, analysis, and dissemination. Included among these programs is a system for monitoring and reporting on developing emergencies. In addition, facilities must be provided to insure the continuous, effective operations of the Secretary and the DOT national and regional crisis management teams in the face of any contingency, including the disabling of DOT Headquarters or regional offices. Finally, key DOT policy officials must have precise and up-to-date information on transportation facilities and an accurate impact assessment to make prompt resource management decisions in the chaos of a crisis. The current Crisis Management Center is configured as a conference room with an antiquated telephone system. The Center was quickly overwhelmed by unexpected demands of Hurricane Andrew because of the Secretary's direct involvement as the leader for a Presidentially established crisis management task force, and the performance of DOT's routine emergency response functions. Likewise, it has not served previous crisis situations very well.

APPROACH:

RSPA's plans for FY-1994 will focus on modernizing the telephone system, expanding the information acquisition and analysis process, acquiring mapping systems, and obtaining appropriate information display and dissemination systems. Further, a long-overdue updating of the Emergency Transportation Data Base will be initiated, and the necessary processing hardware will be obtained.

ACCOMPLISHMENTS:

Efforts continue to enhance the automated emergency information system, which is an essential foundation to all of DOT's crisis management plans. The heart of this system is the Emergency Transportation Data Base, which currently includes a 186,000 record inventory of rail, highway, airports, oceanports, and transit facilities throughout the Nation. This data base was designed in the mid 1970s with an orientation on residual capacities after a worst case nuclear scenario. The data base must be modernized to be useable in the current crisis management environment of natural and technological disasters and current national security threats. To expand use of the data, the Headquarters and regional offices have been provided with new, modern computer hardware over the past three years. These can be easily updated with appropriate software.

As a measure of the reach and intensity of RSPA's crisis management analytical reporting system, ET monitored and analyzed the transportation impacts of 26 emergencies in FY 1991 and more than 50 in FY 1992. These ranged from the eruption of Alaska's Mount Redoubt to the international deployment of military force in the Persian Gulf crisis to the effects of Hurricane Andrew. Over 60 comprehensive situation reports were prepared and published on the Persian Gulf crisis alone for DOT management and the Federal community.

PLANNED FOR FY 1994:

In FY 1994, RSPA is requesting $154K for crisis management projects to improve the Crisis Management Center's communication system and the Emergency Information System. The largest element among these projects will be the update of DOT's automated transportation emergency information system, which is essential for informed decision making by the Secretary and other senior policy and management staff in an emergency situation. A second step will be development of a user friendly graphic mapping capability (geographic information system) to allow rapid, automated analysis and display of the impact of the disaster on the transportation network. This capability would be vital to support critical decisions on the flow of relief supplies by the Secretary and other key executives if an earthquake or similar catastrophe devastates the transportation infrastructure. The operational components of the automated emergency transportation information system must be maintained at the highest level of efficiency, reliability and compatibility to network with the wide range of computer systems that may be involved in any emergency situation.

The development of a preliminary geographic display system is underway for OET by the Volpe National Transportation Systems Center (VNTSC). No funds were available for this effort in FY 1993. For FY 1994, we would propose to expedite the development of this geographic display system.

The Crisis Management Center's improvement will include modernization of the outmodel communications system, including such components as visual information display capabilities and dedicated computers to link with emergency managers within DOT.

CONSEQUENCE OF NOT FUNDING:

Without adequate information and functioning facilities, DOT's response to the demands of a catastrophic event will be greatly hampered. Timely decisions will be delayed and the communication of these decisions will be impeded. Federal response in time of emergency could be severely compromised "for want of a nail."

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS
Element: Research and Technology

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	13	13
($000)		
Personnel Compensation and Benefits	$ 1,004	$ 1,167
Operating Expenses	116	111
Research and Development	350	685
	$ 1,470	$ 1,963
Additional funds allocated from the Program Support activity for communications, utilities, WCF and misc. costs:	184	130
	$ 1,654	$ 2,093

RESEARCH AND TECHNOLOGY

FY 1994 BUDGET REQUEST

MISSION

RSPA's Research and Technology programs pursue a systems approach to transportation issues. They provide the Secretary with a critical counterbalance to the modal perspective prevalent in the research and development programs of all other DOT operating administrations. They also provide analyses on specific technology areas.

Technical support is provided for the Administrator's dual capacity as Chairman of DOT's R&D Coordinating Council and Chief Science Advisor to the Secretary; this ensures Department-wide coordination of R&D policy planning, university research, technology transfer, and radionavigation and communication systems. These activities help assure that DOT's program of research and development (R&D) is relevant, coordinated, cost-effective, and responsive to present and future needs. They also assure that the Department's actions are consistent with broader Federal initiatives like the President's Technology Initiative.

Research and Technology helps assure that the results of this R&D and other innovative efforts from around the country are made available in a useful form to federal, state and local elected and appointed officials, the transportation community and academia. Research and Technology provides planning and analysis on the federally sponsored civil radionavigation and radiocommunications systems, with responsibility for development of the biennial Federal Radionavigation Plan. The program also provides coordinated development, oversight and dissemination of the results of university-based research and education programs sponsored through grants to University Transportation Centers and University Research Institutes.

RESEARCH AND DEVELOPMENT

The research and development (R&D) program provides for the research and analytical support necessary to satisfy mission requirements.

Funding ($ 000):	FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
University Research	200	200	190	-10
Research Management and Application*	150	150	495	+345

* The Research Management and Application Program is broken down into three sub-areas as follows:

Funding ($ 000):	FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
R&D Planning and Management	0	0	170	+170
Technology and Knowledge Sharing	50	50	50	0
Radionavigation Planning and Policy Analysis	100	100	275	+175

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): R&D Planning and Management

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	170	+170

PROBLEM STATEMENT:

The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 found that "research and development programs related to transportation are fragmented and dispersed, and need to be strengthened and incorporated in an integrated framework." It also highlighted the need for a federal vision on (1) how the surface transportation systems of the 21st century differ from the present, (2) how they will interface with each other, (3) how the systems will adjust to changing population patterns and lifestyles, and (4) the role of federal R&D in accomplishing this. Underlining this inadequacy, the Congress commissioned an audit by the General Accounting Office of the process DOT uses to choose, manage, and evaluate its research.

ISTEA intended to provide the needed focus by initiating a formal R&D planning process for the Department. However, no funding was provided for this activity. On its own, the Department had reached a similar conclusion about the need for a more explicit articulation of the directions for its research. Independent of the ISTEA requirements, DOT has been implementing a formal R&D Management system for its half-billion dollar R&D program to provide the needed vision, make sure that R&D plans are established in accordance with it, and reduce the probability of duplication or ineffectual program formulation. The recent Clinton Administration Technology Initiative has major transportation components, and has provided added impetus to this management improvement effort.

The proposed activity is designed to both implement the ISTEA Congressional intent and satisfy DOT's need for strategic R&D management, treating the issue on a fully multimodal basis.

APPROACH:

On the order of $500 million is being requested by nine different agencies within the Department for Research and Development (R&D). Working through the Department's Research and Development Coordinating Council, which consists of the senior official responsible for R&D in each of the Department's operating administrations, the Department will develop a formal multimodal R&D plan, plus more detailed plans for specific multimodal or generic technologies.

The activity will implement the surface transportation R&D planning mandates of ISTEA, in addition to involving the full range of other modes to satisfy oversight of the total DOT R&D program. Key interim products of the work will be analyses describing transportation problems and technology opportunities for use by the R&D Coordinating Council. Both contracts and funded support at the Volpe National Transportation Systems Center will be used to accomplish the necessary work.

ACCOMPLISHMENTS:

The early activities of the DOT R&D Management System generated a formal R&D Agenda, consisting of some eighty priority research areas in support of six major transportation themes. The Agenda, which is now updated annually, serves as the starting point for the R&D Plans required by ISTEA. The Agenda also establishes the categories used in developing annual R&D Maps, which array the funding requested by each Administration against the Department's formal research priorities. The data developed in these Map exercises is supporting development of the ISTEA-mandated R&D plans. Based on the first Map exercise, nine areas were identified as particularly productive areas for coordination, and formal working groups were established for each. All of this initial work was done through staff time only.

PLANNED FOR FY 1994:

RSPA proposes to focus its R&D management activities on completing and updating the R&D planning and oversight documents required by the ISTEA, expanding them in this cycle to a fully multimodal basis. This would include development of background information on high-payoff new technologies for consideration through the existing working groups, development of funding request and management support profiles for key technologies for three years into the future, and a projection of technology opportunities for up to ten years out. Interim analytical materials will be provided to the R&D Coordinating Council to help set research priorities and program directions.

CONSEQUENCES OF NOT FUNDING:

Americans spend nearly $800 billion for transportation products and services every year. The ISTEA alone will be providing funding of about $155 billion over a six year period. The amount of total federal R&D funding for transportation is small (about $500 million per year) in comparison to these total expenditures. However, it is recognized by the Department and by ISTEA, that R&D is critical to assuring the future of the nation's transportation. The limited R&D funds must be directed in the most efficient and effective directions. Without the kind of activity for which funding is requested here, the probability of wasteful investments in ineffective or unnecessary technologies is high. Even a one-half of one percent waste in the six-year ISTEA funds alone would translate to almost $800 million.

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): Technology and Knowledge Sharing

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
50	50	50	0

PROBLEM STATEMENT:

The key to effective use of the $500 million that DOT invests annually in R&D is its application by state and local governments and the private sector to create new transportation products and improve transportation services. There is a need to assure that necessary links are created between the transportation research community and those who will apply their research.

APPROACH:

DOT's centralized Technology Sharing activities have two main thrusts: supporting effective state and local government decision-making, and promoting product development in the private sector through R&D commercialization. The state and local government work is designed to supplement modally oriented technology transfer work, with many projects undertaken in concert with them. The private sector oriented work is designed to illuminate the process by which technologies are selected by the private sector for product development, and promote use of federal technical resources in the process.

ACCOMPLISHMENTS:

Activities have focused heavily on implementing the provisions of the Technology Transfer Act of 1986, particularly promoting the use of Cooperative Research and Development Agreements (CRADAs) at Federal Laboratories. Commercialization "success stories" were extensively used in the development of DOT's participation in the 11 National Technology Initiative workshops during 1992. More effective use of the Small Business Innovation Research (SBIR) program as a vehicle to promote R&D commercialization is ongoing. In addition to these activities, some 30-50 individual technical reports on topics of interest to state and local government are acquired annually by the program: this translates to an active inventory of some 250 individual technical reports which are provided in response to some 50,000 requests for technical information processed annually. Putting these activities in context, the savings resulting to the state of Florida alone from not having to conduct research on topics covered by the program are greater than the entire cost of the program at the federal level.

PLANNED FOR FY 1994:

The program will continue to review technical materials developed by the Operating Administrations and outside sources for dissemination to the transportation community. Specific topics for consideration might include materials on early results from IVHS tests, techniques for congestion reduction and better use of available infrastructure, and meeting the needs of special users. Support of implementation of the Technology Transfer Act of 1986 will continue, with particular emphasis on analysis of successful public/private approaches to cooperative R&D conduct and implementation.

CONSEQUENCES OF NOT FUNDING:

The oil captured and saved by one Coast Guard oil recovery device which was successfully commercialized is valued at more than the cost of the entire Coast Guard oil spill R&D program over its history. The technologies which are the focus of this program typically address critical problem areas of the transportation community, and have particularly high leverage. Without proactive marketing of research results, as provided by this program area, there will be a significant reduction in the Nation's return on it's $500 million investment in transportation R&D.

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): Radionavigation Planning and Policy Analysis

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
100	100	275	+175

PROBLEM STATEMENT:

In 1978, Congress directed that DOD and DOT jointly develop a Federal Radionavigation Plan (FRP) with the purpose of introducing the Global Positioning System (GPS) into the civil community and phasing out redundant systems. In 1983, following the downing of Korean Airlines Flight 007, the President directed, with the concurrence of Congress in a joint resolution, that the GPS be made available to the civil users worldwide and that DOT work together with DOD to implement GPS for this purpose.

APPROACH:

The Federal Radionavigation Plan is the official U.S. policy on radionavigation operations and the primary mechanism for coordinating the view of U.S. government organizations and providing funding direction for their respective radionavigation programs. Implementing GPS for civil users requires close coordination with DOD, other DOT modes, and with other civil agencies including Commerce, Justice, Interior, Agriculture and State. RSPA is 1) the focal point for radionavigation policy and planning and production of the FRP, and 2) the designated agency within DOT to coordinate intermodal planning with modal agencies and with DOD regarding GPS.

The FRP 1) is the key for national and international radionavigation planning, 2) affects the safety, security and efficiency of transportation operations both nationally and worldwide, and 3) benefits the economy by providing U.S. manufacturers of and investors in GPS and navigation systems sound policy and planning guidance. By the year 2000 there may be well over a million users of GPS receivers in navigation, surveying, timing, and IVHS applications. The FRP is relied upon heavily by other governments with whom the U.S. coordinates its navigation policies.

ACCOMPLISHMENTS:

The 1990 FRP was published in December 1990 and approximately 5,000 copies distributed to Federal/State/local officials, civil and military users, private industry, and to international governmental and coordination agencies. User conferences were held in November 1991 and December 1991 to obtain user inputs on federal radionavigation plans and policy. Although FY92 budget for radionavigation planning was cut by 60 percent ($150K), RSPA was able to obtain reimbursable funding in FY92 and published a fully revised 1992 edition of the FRP and is distributing 5,000 copies. We also initiated a preliminary study to determine FHWA's requirements for differential GPS in IVHS applications. IVHS was included in the 1992 FRP. RSPA concluded a Memorandum of Agreement (MOA) between DOT and DOD on the civil use of GPS in FY93. RSPA maintains crucial contact with civil users of GPS by co-chairing the Civil GPS Interface Committee, a public/private sector committee (meets 3 times per year) formed to identify user needs and exchange information on civil GPS applications and requirements, and through approximately ten national and international meetings and symposia per year.

PLANNED FOR FY 1994:

In FY 1994 RSPA will continue its leadership of DOT radionavigation policy and planning efforts that will include integrating GPS into the radionavigation mix. RSPA will 1) conduct a series of joint working group meetings with DOD to develop the 1994 FRP for publication and distribution (5,000 copies) in December, 1994, 2) sponsor (jointly with FAA and USCG) three user conferences in the fall of 1993 to focus attention on the proposed phase-out of certain federally provided services, and 3) continue to interact with the user community on a continuous basis through meetings and international symposia (approximately ten) to ensure the development of a comprehensive FRP.

The $275K requested for radionavigation planning and development of the 1994 FRP will be used 1) to cost share with FAA and USCG for a required DOT liaison position at the GPS Joint Program Office and for one or more DOT positions at U.S. Air Force Space Command to ensure civil needs are met, 2) for Volpe National Transportation Systems Center (VNTSC) technical support, and 3) for crucial interaction with the civil user community.

CONSEQUENCES OF NOT FUNDING:

Failure to provide the level of effort necessary to address civil user needs at a time when the GPS is becoming operational could seriously jeopardize U.S. influence over the development of new generations of positioning technology, with resulting loss of commercial opportunity, eg., in IVHS or airline applications.

PROGRAM: RESEARCH AND DEVELOPMENT

ACTIVITY (in thousands): University Research

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
200	200	190	-10

Problem Statement:

Many transportation-related problems have been addressed at the Nation's institutions of higher learning, but funding sources have usually dictated research projects that are modally focussed. There is a need to tap this important source of innovation for broader multimodal transportation issues.

Approach:

DOT has made a major investment in developing technical expertise on a variety of transportation topics in its network of University Transportation Centers and University Research Institute around the country. The educational and research products of these academic centers are substantial. RSPA seeks to use the requested program funds as leverage to further increase the benefits and beneficiaries of DOT's significant investment.

Accomplishments:

In FY 1993 RSPA applied lessons learned through management of the university grant programs to stimulate curriculum development for a new intermodal transportation degree program. The industry had identified, and DOT experts had confirmed, a growing need for security professionals who can integrate transportation security costs into overall business management planning and operation. Rather than committing to the long-term financing of academic programs at one or more institutions of higher learning, RSPA agreed to support the costs of a series of working meetings at which industry professionals, DOT specialists and academic experts could identify the core components of a curriculum that could result in the award of an accredited degree in Transportation Security. Once this effort is completed, there will be no further cost to DOT. Interested academic institutions will be free to offer the degree as part of any accredited Transportation or Security program. From that point on, market forces will determine the extent to which demand for such professionals will be reflected in the growth or decline of programs offering such a degree.

A further accomplishment is continued participation in the successful Summer Transportation Intern Program for Diverse Groups (STIPDG) which provides promising future transportation professionals from diverse backgrounds with mentored work opportunities in the Department of Transportation.

Planned for FY 1994:

In FY 1994, RSPA proposes to use the University Research program funding to share the results of innovative educational programs. These innovative programs are developed by the recipients of the $20 million university grant programs that RSPA manages. The benefits of those developments (such as the content of cross-disciplinary transportation curricula and the design of multimodal research plans) would be handed off to institutions of higher learning that are not participants in our grant programs. This would significantly increase the degree to which the Nation's transportation education programs adopt multidisciplinary, intermodal approaches to transportation problems and solutions.

Consequences of Not Funding:

The cost of failing to fund this modest and highly innovative program will be a reduced ability to capitalize fully on the Department's significant investments in education and research and, possibly, the continuation of unnecessarily costly ways of doing business.

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

RESEARCH AND SPECIAL PROGRAMS
Element: **Program Support**

	FY 1993 Enacted		FY 1994 Request
Full-time Permanent Positions	42		45
Executive Direction	5		5
Policy and Program Support	3		4
Civil Rights & Special Programs	2		2
Program Mgmt and Administration	18		19
Legal Services and Support	14		15
($ 000)			
Personnel Compensation and Benefits	$ 3,187		$ 3,698
Operating Expenses	2,511		2,178
Total Contract Programs	188		479
Civil Rights & Special Programs:	10		9
Activities -			
Civil Rights	4		4
Drug Program	6		5
Program Mgmt and Admin Programs:	178		470
Activities -			
Accounting Ops (transfer)	0		199
Budget and Financial Mgmt	28		28
Information Resources Mgmt	150	*	243
	$ 5,886		$ 6,355
Additional funds allocated to other elements within RSP for communications, utilities, WCF and misc. costs:	-2,204		-1,607
	$ 3,682		$ 4,748

* In the FY 1993 Presidents Budget to Congress, these funds were shown as Operating Expenses.

PROGRAM AND ADMINISTRATIVE SUPPORT

FY 1994 BUDGET REQUEST

MISSION

PROGRAM SUPPORT provides policy, legal, financial, management and administrative support to operating offices in their mission to promote the Administrations's policies and the Department's programs. PROGRAM SUPPORT includes activities which directly support the agency's programs in a variety of areas, including the Office of the Administrator, Staff Offices to the Administrator (Chief Counsel, Program and Policy Support, and Civil Rights and Special Programs), and Management and Administration.

PROGRAM: EXECUTIVE DIRECTION

The Office of the Administrator provides overall management, strategic direction, and implementation of Administration policy for the agency and its programs.

POSITIONS

New: 0

No new positions are requested for Executive Direction in FY 1994.

PROGRAM: POLICY AND PROGRAM SUPPORT

The Office of Policy and Program Support (DPP) conducts policy reviews and analyses, makes policy recommendations to the Administrator and provides policy direction and oversight to all RSPA program offices. DPP also informs the general public, the media, and the Congress about all RSPA program activities.

With this request, DPP proposes to operate RSPA's Executive Secretariat function.

POSITIONS

New: 0

Transferred within Program and Administrative Support: 1

No new positions are requested for DPP in FY 1994. We request the transfer of one (1) position from Legal Services Support to DPP in FY 1994.

Currently, the only FTP position for Executive Secretariat support resides in Legal Services Support. Under a work redesign plan, RSPA will combine all Executive Secretariat duties within DPP to improve the efficiency and management of the function.

PROGRAM: CIVIL RIGHTS

The Office of Civil Rights, a staff office to the Administrator, is responsible for the administration, coordination, and implementation of the Freedom of Information Act, the Privacy Act, and RSPA's Civil Rights program. In addition, management and oversight is provided for the agency's internal drug testing program.

POSITIONS

New: 0

No new positions are requested for Civil Rights in FY 1994.

ACTIVITY **(in thousands)**: Civil Rights

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
4	4	4	0

PROBLEM STATEMENT:

In the past, other Operating Administrations within the Department have investigated RSPA's official civil rights complaints through the use of reimbursables. During FY 1992, other Operating Administrations have experienced a dramatic increase in complaints received, in fact, complaints have doubled in some DOT administrations. RSPA has been informed that other operating administrations will no longer be able to accommodate RSPA's needs without substantially increased reimbursements. Some administrations have contracted out their own investigations with FY 1992 costs ranging from $2,000 to $6,000 per case, depending on whether the case involves per diem and travel.

In addition, recent legislation (Civil Rights Act of 1991) authorizes either party to elect a jury trial. Previously, the only course of action was to have a decision made by either a judge and/or a hearing officer at EEOC. This new jury trial alternative, as provided by the Civil Rights Act of 1991, will increase RSPA's costs dramatically. If Alternative Dispute Resolution (ADR) is selected by the complainant, RSPA would incur another major cost increase, as mediators/arbitrators are currently charging from $7,000 to $10,000 per case. RSPA has had only three cases in the past eight years, although this fiscal year there are two cases pending. RSPA estimates that this increased level of activity will continue beyond FY 1994.

APPROACH:

RSPA will need to contract out for required investigation services, and mediation and arbitration required by increased number of complaints and due to new Civil Rights legislation. Given the current level of funding, RSPA will be unable to fulfill this obligation.

ACCOMPLISHMENTS:

The Office of Civil Rights continues to provide effective leadership in Civil Rights programs nationwide, by developing and implementing innovative programs and guidance materials. The percentage of female and minority representation in RSPA's workforce has steadily increased during the past few years. Also, the percentage of women and minorities occupying GS-11 and higher positions has continued to increase. In addition, representation of minorities and females in non-traditional jobs such as engineering continues to rise.

PLANNED FOR FY 1994:

RSPA will continue to review internal Civil Rights programs which affect the welfare of our employees. RSPA's Civil Rights responsibilities will increase to ensure compliance of Title VI, the Civil Rights Act of 1991, and the requirements of other laws when disbursing Pipeline Safety and Hazardous Materials Safety grant funds to qualified recipients. RSPA will continue to implement an oversight program which will include the review of all grants applications and compliance reviews of ongoing programs.

CONSEQUENCES OF NOT FUNDING:

Without sufficient funding for FY 1994, RSPA will be unable to provide the mandated level of Civil Rights protection required due to increased complaints and new Civil Rights legislation.

PROGRAM: CIVIL RIGHTS

ACTIVITY (in thousands): Drug Program

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
6	6	5	-1

PROBLEM STATEMENT:

Contract costs associated with the day-to-day operation of the internal drug testing program, including lab fees and collectors fees, will continue to rise. RSPA employees must be provided with updated guidance and orientation concerning expansion and changes in the program. RSPA must maintain its leadership and credibility in this area, by providing quality program execution.

APPROACH:

RSPA will continue to provide guidance and orientation for all RSPA employees and applicants. Drug testing practices continues with the most recent additions and changes as adopted by the Department. RSPA employees must be regularly informed of these changes.

ACCOMPLISHMENTS:

RSPA has established its internal program as one of the leading programs within the Department. The Agency has produced a variety of materials which have provided program guidance not only to employees, but to their families and communities. Our testing program is closely monitored, and the rights and privacy of the individuals involved with the program are zealously protected.

PLANNED FOR FY 1994:

This program will continue to provide guidance and support for the development and implementation RSPA's drug-testing programs.

CONSEQUENCES OF NOT FUNDING:

Without sufficient funding for the FY 1994 Drug Program, RSPA will be unable to provide an adequate level of support for the development and implementation of mandated drug programs. Also, insufficient funding would affect the families of DOT employees and their communities adversely because a wide range of guidance about drugs would be restricted or unavailable.

PROGRAM: MANAGEMENT AND ADMINISTRATION

Positions

New: 0

Transferred to RSPA: 1

No new positions are requested for Management and Administration in FY 1994.

RSPA is requesting that one FTP (one unencumbered FTE) be transferred from OST to RSPA. This will enable RSPA's accounting function to be transferred from OST to the FAA.

The position will be responsible for the following:

- acting as RSPA's liaison with the FAA accounting office,
- reviewing obligating documents,
- determining all travel vouchers are prepared in accordance with OST and GSA travel regulations; and
- assisting in reconciling the monthly reports with the FAA.

ACTIVITY (in thousands): Transfer of Accounting Operations

FY 1992 Enacted	FY 1993 Estimate	FY 1994 Request	Difference
0*	440**	199***	-241

* Cost included in the OST Working Capital Fund overhead account.

** Total Cost included in RSPA's FY 1993 budget request under the working capital fund for accounting services.

*** Cost associated with the FAA reimbursable agreement, includes cost for the reimbursable FTE.

PROBLEM STATEMENT:

RSPA has historically utilized the Office of the Secretary (OST) to provide needed accounting services. The cost of the accounting services were included in the charges of the Working Capital Fund (WCF) to all Departmental operating Administrations. During a review of the WCF, it was discovered that the accounting services were only provided to three operating administrations and the WCF. OST determined that the offices who benefit from the services provided would have to pay for those services.

RSPA and the OIG were informed that beginning in Fiscal Year (FY) 1993, they would be billed directly for the accounting services provided. RSPA included a total of $440,000 in its FY 1993 budget request for these services. An analysis of the proposed costs indicated that the cost per transaction, excluding payroll and system generated transactions, was between $40 and $71 per transaction. RSPA concluded that its percentage of the 19 FTE and the administrative and other costs associated with these employees, was too high compared to the level of services received.

In addition, with the establishment of Department Accounting and Financial Information System (DAFIS), RSPA, because its accounting is done by OST, is categorized as an office within OST rather than as an Operating Administration. Because of RSPA's unique needs and requirements, such as reports on user fee collections and the number of query capable terminals, the existing financial reporting does not meet our management needs. The reconciliation process between RSPA's management system and the OST reports is cumbersome and time consuming.

APPROACH:

After completing an in-house study, RSPA has determined that it can obtain better service and reduce the cost of necessary accounting services by approximately $241,000 a year by establishing a cross-servicing agreement with the FAA. With the economies of scale offered by transferring part of the accounting function to an existing accounting office within the Department, RSPA will take advantage of moving the majority of the function outside the Washington D.C. area and save the Department money. **RSPA has identified this initiative as one of its FY 1994 Management Initiatives**.

ACCOMPLISHMENTS TO DATE:

The transfer of accounting services will take place during FY 1994.

PLANNED FOR FY 1994:

RSPA will negotiate a reimbursable agreement with the FAA to perform its accounting services.

CONSEQUENCES OF NOT FUNDING:

RSPA has determined that it can obtain better service and reduce the cost of necessary accounting services by approximately $241,000 per year by establishing a cross-servicing agreement with the FAA.

The total costs associated with the accounting transfer are split between annual cost and one-time transfer costs as follows:

ANNUAL COSTS:		
PC&B (3 FTE)	$101,518	
Space & Utilities	7,000	
Supplies	2,000	
Travel	4,000	
Printing	1,000	
Equipment & Software	2,000	
Misc, includes expected overhead charged by accounting office	26,000	
Sub-Total	$143,518	
RSPA's FY 1993 budget request	440,000	
Yearly Cost Savings		**$297,482**
ONE-TIME COSTS:		
Workstations (incl equip)	21,000	
Start-up Travel	10,000	
Staff Training	15,000	
Space Set Up & Phones	5,000	
Document Transfer	5,000	
Sub-total	56,000	
Total Cost savings Year 1		**$241,000**

Based on current estimates for RSPA the payback period to amortize the one-time cost would be approximately 2 months. This seems reasonable for transferring this function.

PROGRAM: MANAGEMENT AND ADMINISTRATION

ACTIVITY (in thousands): Budget and Financial Management

FY 1992 Enacted	FY 1993 Estimate	FY 1994 Request	Difference
28	28	28	0

PROBLEM STATEMENT:

The Departmental Accounting and Financial Information System (DAFIS) is set-up where only one terminal in RSPA is allowed query capability with limited reporting capability. In order for RSPA to use DAFIS as a financial management tool, senior management needs the capability to have on-line access to accounting reports and queries.

APPROACH:

A contractor will be used to develop management reports and on-line query capability, using DAFIS accounting data, that will be placed on RSPA's local area network. These reports will give management the ability to control funding requirements and determine management financial priorities.

ACCOMPLISHMENTS TO DATE:

Currently, RSPA maintains a budget reporting system, separate from DAFIS. We are proposing to eliminate our current reporting system and expand the DAFIS reporting capabilities.

PLANNED FOR FY 1994:

We will develop specific financial reports and increase management's on-line query capability, two areas which are crucial to RSPA's ability to properly manage its financial operations. We intend to pattern ourselves after NHTSA, where there is a contractor who uses the accounting data provided by DAFIS to establish financial reports that are meaningful to senior management. Other Administrations who have FTP and/or contractors who perform this function include the FAA, and the OIG.

CONSEQUENCES OF NOT FUNDING:

If funds are not provided to increase RSPA's reporting and on-line capability on DAFIS, RSPA's current reporting system will have to be maintained at its current level ($28,000).

PROGRAM: MANAGEMENT AND ADMINISTRATION

ACTIVITY (in thousands): Information Resource Management

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
125	150	243	+93

PROBLEM STATEMENT:

The IRM organization has attempted to fulfill its responsibilities of providing policy guidance and direction for application development, office automation, telecommunications, word processing, electronic mail, the sharing of data/information and IRM acquisition (including equipment, software, telecommunication) and the day-to-day user problem calls, but has fallen short due to lack of resources (positions and funds).

Our current approach of allowing different offices responsibility for acquiring information resources for their program offices has resulted in inequities in information capabilities which must be overcome before any overall measurable benefits in productivity are realized. The unevenness of support, augmented by incompatibilities among both current and future computers hardware and software purchases, only makes obtaining overall productivity increases even harder to achieve.

APPROACH:

Information technology and automated systems are essential to the Agency's ongoing operations. To ensure the overall efficient and productive use of these resources, the IRM organization needs to be able to implement an information resources management policy for all such activities in the Agency. All offices require some level of IRM/ADP/telecommunication support; our focus is on how limited resources can be best allocated in support of the Agency's mission and goals.

The IRM organization will provide the optimal central clearinghouse for all IRM/ADP/telecommunication activities. With the Department's emphasis on improving office worker productivity, we are planning to combine the Agency's IRM resources into a centralized IRM shop to best provide and support all information system activities within the Agency and its field offices.

ACCOMPLISHMENTS:

The IRM organization initiated an Agency-wide requirement study, this effort when completed will serve as the Agency's Strategic IRM Plan. We have been successful in networking all offices with in the Agency (providing easy access to commonly used software and ensuring regular back up of data), and are currently working with the field offices to identify necessary communication links to share data and information with Headquarters. We identified a vehicle that provides a 2 hours on-site response for PC maintenance support for the whole Agency. We have increased our network and PC trouble call support by participating in the Coop Student program. We have introduced the Agency to color charts and graphs for briefings and meetings. We have introduced, for Agency use, a pool of light weight Notebook computers. These computers can be signed out by employees who are on travel or have office work to do at home over the weekends or in the evenings. We have upgraded the Agency word processor from Word Perfect 5.0 to Word Perfect 5.1. Several small Agency tracking systems have been developed and are accessible through the Agency's LAN.

PLANNED FOR FY 1994:

Core Initiatives $ 158,000

o **Local Area Network (LAN)** $ 40,000

ITEMS	FY-91	FY-92	INCRS	FY-93	INCRS	FY-94	INCRS
# OF USERS	135	240	44%	360	33%	480	25%
# OF FILE SERVERS	3	9	67%	17	47%	23	26%
NETWORK PROBLEM CALLS	4080	4210	3%	5500	23%	7500	27%

Local Area Network (LAN), linking together the computers and automated systems serving RSPA Offices, provide an underlying basis that RSPA personnel need to be able to use in order to more effectively accomplish the mission and goals of the Administrator. The IRM office is working with each of the Offices to ensure the design, installation and administration of the LAN meets their requirements. Depending on the current level of data communications services available, LAN support varies from evaluating and recommending computer hardware/software/communications purchases to the troubleshooting of system failures to the system administration tasks of adding new users; enhancing and streamlining the processing of the network; and enforcing system securities.

The development of a LAN that interfaces with other existing DOT and Federal data communications facilities will increase the timeliness of reporting information internally, to the Department and Federal offices, and to the public. The dollars will fund one LAN administrator.

- **Application Development** $ 32,000

ITEMS	FY-91	FY-92	INCR	FY-93	INCR	FY-94	INCR
DEVELOPMENT EFFORT	13	26	50%	35	26%	42	16%

Selective computer system applications development and maintaining existing systems can effectively facilitate many of the budgetary (eg. Departmental Accounting and Financial Information System (DAFIS) and RSPA's Accounting and Management Information System (RAMIS)), administrative (eg. Regulatory Tracking System, Correspondence Control System and Priority Planning Tracking System) and personnel (eg. forms generating system and Personnel Tracking System) activities performed by RSPA Offices. By automating these processes, timelier sharing of information, more current management reports and greater internal quality controls can be obtained with marginal effort. Relative simple applications to generate service and personnel forms, to prepare purchase requests, to assist in budget preparation, and to track inventory will reduce duplicated efforts within the Agency and improve responsiveness to the user community. These few applications will be implemented in a fashion which promotes agency-wide integration and compatibility with other Agency systems and the local area network.

In order to obtain the greatest benefits from introducing automated systems, systems development efforts have to be accomplished with input and feedback from all levels of users. Requirements analyses identify the needs that a system development project is designed to fulfill. Functional specifications describe the functions to be accomplished. System designs detail how the processes are to be performed. Prototyping provides a rapid method for the users to interact with a first cut at producing the desired system. Programming provides all of the detail code needed to implement all of the identified processes and functions. Testing insures that the developed system actually does what was envisioned by all parties. System documentation enables future developers to comprehend the details of the existing system. User documentation and training enables the users to understand how the system can assist them in performing their activities in more effective and productive manners. Systems developed using these steps provide the greatest service for their users and provide the most efficient mechanisms for increasing productivity. The dollars will fund one application computer analyst contractor for Agency development and programming support.

- **Information Support Center** $ 25,000

ITEMS	FY-91	FY-92	INCR	FY-93	INCR	FY-94	INCR
TROUBLE CALLS	912	1050	13%	1210	13%	1290	9%
HARDWARE & SOFTWARE EVALUATION	780	910	14%	1230	26%	1410	13%
GRAPHIC SUPPORT	208	290	28%	360	19%	450	20%
OFFICE AUTOMATION TRAINING	1300	1460	11%	1580	10%	1670	6%
DESK TOP PUBLISHING SUPPORT	24	33	27%	40	18%	48	17%
COMPUTER MAINTENANCE	1560	1840	16%	2070	11%	2260	9%
E-MAIL SUPPORT	1040	1206	14%	1356	11%	1511	10%
IRM SUPPORT	520	850	39%	948	10%	1130	17%

Providing a central source of technical support to RSPA computer users, the Information Support Center will increase RSPA personnel productivity. Able to diagnose and overcome different types of user problems, the Center personnel will be able to assist users who are experiencing hardware, software or telecommunications difficulties. The Center will provide user support and training for all microcomputer hardware, software, and communications.

Microcomputer based presentation graphics and desktop publishing applications can cost-effectively assist RSPA personnel in presenting policies, ideas and findings to RSPA management, DOT personnel and the public. As these applications are complex and time-consuming to use, the Center can provide trained personnel to assist users in producing quality work in timely fashions. The dollars will fund one micro computer program analyst contractors.

o	**IRM Security**	$ 61,000

As computers become increasingly linked together, the need for planning, installing and administering information resource security measures becomes of highest importance. The work of RSPA personnel should remain secure until it has formally been released to the public. To insure such security on all RSPA computing resources, a formal security plan has to be adopted for the headquarters and the field offices. The production of an information resources security plan requires research into the applicability of security features, the level of security required for each office function, and the costs and benefits of various security applications.

An information resources security plan includes the formal statement of Agency policy combined with all manual and automated procedures that are to be adopted. Such procedures include providing password protection, encryption, and limitation of user access to only those systems, files and applications that are rightfully required for job performance.

New Technology Initiatives	$ 85,000

o	**Imaging/Optical Disk Storage**	$ 35,000

Four offices (Office of Hazardous Material Safety, Office of Pipeline Safety, Office of Tariffs and Office of Aviation Information) have large docket files which are prime candidates for conversion to optical disk storage. Reasons for these selection are size, frequent access by multiple users in Headquarters and the field offices, other Department of Transportation Agencies, other Government departments and the private sector, and the need to protect the integrity, security, and accuracy of a critical agency information systems. Imaging technology offers the capability to automate the storage, retrieval, and use of information by a wide range of users while protecting the integrity, security and accuracy of the files. This technology will be introduced in a fashion which promotes agency-wide integration and compatibility with other RSPA systems and the RSPA LAN.

The introduction of such a powerful new technology has to be accomplished in a structured fashion, accompanied by on-going interaction with all of the management and staff currently involved in the process. By approaching the implementation of imaging through a phased strategy, all concerns can be addressed as they are brought up. The initial phase will focus on identifying functional requirements. A study performed by systems analysts experienced in the field of imaging, working together with RSPA staff, will identify the objectives of the project, the purposes of each aspect of the proposed design, and the functions that the system has to include. The results of this study will drive the development of the systems to be put into use.

- **Department of Transportation Headquarters LAN** $ 50,000

The Department decided approximately two years ago to design, develop and implement a fiber optic network within the three DOT buildings, and connecting all three building at the same time.

By not being included in the effort to implement the fiber optic DOT Headquarters enterprise LAN, RSPA's needs and requirements for electronic communication and file transfers between RSPA and the remainder of the Department could be ignored. If RSPA does not remain involved in these plans, RSPA will lose any ability to influence DOT Headquarters LAN decisions as to the technical benefits and the proposed costs on RSPA. RSPA management and staff work closely at times with counterparts from the other modal administrations and OST. High speed, dedicated network backbones combined with adherence to all relevant electronic standards enable productivity gains by everyone who need to send electronic mail, to share the use office automation tools, and to work together to produce departmental strategic plans, address cross-modal safety issues or to develop interagency agreements. By not connecting with the DOT Headquarters LAN, RSPA will lose the advantages of sharing in wide-area communication resources. Significant funds will continue to be spent by RSPA on separate communication channels to the regional offices as well as DOT Headquarters.

PROGRAM: LEGAL SERVICES AND SUPPORT

The Office of the Chief Counsel (OCC) provides legal services to the Administrator and agency managers to ensure the legal sufficiency and defensibility of their decisions, and to carry out their enforcement programs. Legal services are provided to support all aspects of the Research and Special Programs Administration's mission, with emphasis on hazardous materials and pipeline safety administrative enforcement and litigation, legislation, rulemaking, and general law. (Routine legal services are provided to the Volpe National Transportation Systems Center by its resident legal staff.)

POSITIONS:

New: 0

Transferred within Research and Special Programs: 2

No new positions are requested in FY 1994. We request the transfer of two (2) attorney positions from the Office of Hazardous Materials Safety to OCC in FY 1994. These positions were provided in FY 1993, but were placed in the Hazardous Materials Safety Account.

The transfer of the two (2) attorney positions to OCC would appropriately align legal positions with legal personnel. These two positions would be assigned to the Hazardous Materials Safety and Research and Technology Law Division.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

EMERGENCY PREPAREDNESS GRANTS

(EMERGENCY PREPAREDNESS FUND)

For necessary expenses to carry out section 117A(i)(3)(B) of the Hazardous Materials Transportation Act, as amended, $700,000 to be derived from the Emergency Preparedness Fund, to remain available until expended: *Provided*, That not more than [$10,300,000] *$14,975,000* shall be made available for obligation in fiscal year [1993] *1994* for amounts made available by section 117A(h)(6)(B) and (i)(1), (2) and (4) and 118 of the Hazardous Materials Transportation Act, as amended: *Provided further*, That such amounts shall only be made available to the Secretary of Transportation. *(Department of Transportation and Related Agencies Appropriations Act, 1993)*.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
EMERGENCY PREPAREDNESS FUND

UNAVAILABLE COLLECTIONS (in thousands of dollars)

Identification code 69-5282-0-2-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
01.00	Balance, start of year..........		2,821	9,251
02.00	Receipts.......................	2,821	17,430	17,430
04.00	Total: Balances and collections..................	2,821	20,251	26,681
	Appropriation:			
05.01	Research and Special Programs.		-11,000	-15,675
07.00	Balance, end of year...........	2,821	9,251	11,006

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
EMERGENCY PREPAREDNESS GRANTS

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-5282-0-2-407		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
	Direct program:			
00.01	Grants		9,400	12,800
00.02	Technical assistance		400	750
00.03	Administrative costs		500	1,425
00.04	Curriculum developement		700	700
10.00	Total obligations (object class 25.2)	0	11,000	15,675
	Financing:			
39.00	Budget authority	0	11,000	15,675
	Budget authority:			
	Current:			
40.20	Appropriation (special fund)		700	700
	Permanent:			
60.20	Appropriation (special fund)		17,945	25,590
60.45	Portion precluded from obligation		-7,645	-10,615
63.00	Appropriation (total)	0	10,300	14,975
	Relation of obligations to outlays:			
71.00	Total obligations	0	11,000	15,675
72.40	Obligated balance, start of year			5,490
74.40	Obligated balance, end of year		-5,490	-7,470
77.00	Adjustments in expired accounts	0		
90.00	Outlays	0	5,510	13,695

EMERGENCY PREPAREDNESS GRANTS (EMERGENCY PREPAREDNESS FUND)

Grants, Monitoring and Technical Assistance,
Administrative Support, and Curriculum Development Programs

(in thousands of dollars)

PERMANENT BUDGET AUTHORITY

	FY 1993 Enacted	FY 1994 Request	Difference
Grants	8,900*	12,800	+3,900
Monitoring/Technical Assistance	400	500**	+100
Administrative Support	500	1,225**	+725
Transfer to Other Agencies	0	0	0
Emergency Response Guidebook	500*	450	-50
Subtotal	10,300	14,975	+4,675

* In FY 1993, RSPA was given authority to spend up to $950K to publish the Emergency Response Guidebook (ERG). RSPA chose to spend $500K for the publication; the balance of $450K to be retained in the grant program.

** In FY 1994, RSPA expects to spend up to $450K to publish the remaining balance of necessary guidebooks. Funding for publishing the remaining portion of the ERG was taken from Administrative Expenses ($200K) and Monitoring/Technical Assistance ($250K).

APPROPRIATED BUDGET AUTHORITY

	FY 1993 Enacted	FY 1994 Request	Difference
Training Curriculum	700	700	0
Total Budget Authority	11,000	15,675	+4,675

The Hazardous Materials Transportation Act (HMTA) requires the Research and Special Programs Administration (RSPA), through delegated authority from the Secretary of Transportation, to: (1) develop and implement a reimbursable emergency preparedness grant program; (2) monitor public sector emergency response training and planning and provide technical assistance to states, political subdivisions and Indian tribes; and (3) develop and update periodically a national training curriculum for emergency responders.

The HMTA provides up to **$17.960** million in permanent budget authority and **$1 million** in appropriated budget authority in support of the Emergency Preparedness Grant program. Expenditures for the Grant Program in FY 1994 total **$15,675**. They include: **$5** million to states for planning grants and **$7.8** million to states and Indian tribes for training grants; **$500** thousand to provide monitoring and technical assistance; **$1.225** million for administrative support; and **$450** thousand to complete distribution of the ERG.

$700 thousand is requested in appropriated funds for development of a training curriculum for public sector emergency response and preparedness teams.

These activities are to be financed by receipts received from certain shippers and carriers who are required to register with the Department of Transportation (DOT) and to pay an annual fee which is to be placed in a special fund (emergency preparedness grants) in the U. S. Treasury.

PUBLIC SECTOR PLANNING AND TRAINING GRANTS

Grants are to be made to states for: developing, improving, and implementing emergency plans under the Emergency Planning and Community Right-To-Know Act of 1986, including determination of flow patterns of hazardous materials within a state and between a state and another state; and determining the need for regional hazardous materials emergency response teams. In addition, grants may be made to states and Indian tribes for training public sector employees to respond to accidents and incidents involving hazardous materials.

APPROACH:

The HMTA requires RSPA to maintain close coordination to implement the grant program and provide technical assistance with the Federal Emergency Management Agency (FEMA), the Nuclear Regulatory Commission (NRC), the Environmental Protection Agency (EPA), and the Departments of Labor (DOL), Energy (DOE), and Health and Human Services (HHS). Activities performed by RSPA include: receiving applications for grants; reviewing applications for technical compliance; reviewing applications for the purpose of approving or disapproving them; and any other ministerial function associated with the grant programs. RSPA is working closely with these Executive agencies to avoid duplication of effort. Providing grants to states and Indian tribes will significantly enhance hazardous materials planning and emergency response at all levels of government and in the private sector. In addition, the information gained from the analysis of flow patterns will vastly enhance the federal, state and local governments' understanding of the magnitude of the transportation of hazardous materials. Useful data will also be obtained on the need for regional hazardous materials emergency response teams.

ACCOMPLISHMENTS:

RSPA has established a Federal Interagency Coordination Group (ICG) and a DOT working group to implement the planning, training and curriculum development requirements of the HMTA. A final rule was published September 1992. Working closely with the ICG, RSPA will award grants after applications are received by field and headquarters components. Ninety-three percent of States and Territories have applied for grants.

PLANNED FOR FY 1994:

RSPA anticipates the first grants will be awarded in FY 1993. RSPA is requesting a total of **$12.8** million for the grant programs in FY 1994 (**$5.0** million for the planning grant program and **$7.8** million for the training program).

CONSEQUENCES OF NOT FUNDING:

Indian tribes and local emergency responders will not be able to strengthen their capacity to plan for and respond to hazardous materials incidents. Data on the need for regional hazardous materials emergency response teams will not be obtained.

MONITORING AND TECHNICAL ASSISTANCE

The HMTA requires FEMA, in coordination with DOT, EPA, DOE and the National Institute of Environmental Health Sciences (NIEHS) to monitor public sector emergency response training and planning for accidents and incidents involving hazardous materials. Taking into account the results of monitoring, these agencies are to provide technical assistance to states, and their political subdivisions, and Indian tribes for carrying out emergency response training and planning for accidents and incidents. The existing coordinating mechanisms of the National Response Team and, for radioactive materials, the Federal Radiological Preparedness Coordinating Committee are to be used in the provision of technical assistance.

APPROACH:

RSPA has established a monitoring workgroup and a technical assistance workgroup, led by FEMA and RSPA respectively, to develop criteria to evaluate the overall benefits and effectiveness of the planning and training programs and to determine what types or methods of federal technical assistance would be most valuable in support of local hazardous materials planning and training programs. The information obtained from effective monitoring can then be used to provide technical assistance to grantees to strengthen all planning and training programs nationwide.

ACCOMPLISHMENTS:

In addition to establishing a monitoring and technical assistance workgroup, RSPA is also soliciting information on a series of issues related to monitoring and technical assistance. These questions address what criteria should be used to evaluate the overall benefits of the grant programs, weights and measures to be used when applying the criteria, and what types or methods of federal technical assistance would be the most valuable in support of the programs.

PLANNED FOR FY 1994:

In FY 1994, RSPA will monitor and provide technical assistance to states, Indian tribes and local jurisdictions. RSPA will conduct program level monitoring by conducting field visits and reviewing progress reports to ensure that a level of quality is being met without duplication and overlap. RSPA will suggest program level corrective actions to grantees where necessary. In addition, it will identify those programs that work particularly well and use those data to strengthen the planning and training programs.

$500 thousand is requested for monitoring and technical assistance in FY 1994 as follows:

> $100 thousand will be used to support Local Emergency Planning Committee efforts by providing expertise and a transportation perspective to the planning process;
>
> $50 thousand will be used to develop and provide to grantees computer software designed to provide aggregate commodity flow data;
>
> $200 thousand will be used to conduct workshops on transportation-related concerns such as commodity flow resource management and hazard analysis;
>
> $50 thousand will be used to support information sharing through a peer exchange program which will allow states to maximize resources by drawing on the experience of others; and
>
> $100 thousand will be used to develop and disseminate guidance including successful practices and case studies representing ways in which states with minimal resources can incorporate transportation risk into the planning process.

CONSEQUENCES OF NOT FUNDING:

Without these activities, RSPA would be unable to ensure that grant funds are being used in accordance with approved plans and the potential for duplication and overlap would be enhanced. RSPA would not be able to identify weak programs or particularly effective programs and methodologies for nationwide dissemination.

ADMINISTRATIVE SUPPORT FOR PLANNING AND TRAINING GRANTS

Administrative support for HMTA grant programs is essential to provide an effective and efficient effort. Of the amounts made available for the programs in any fiscal year, an additional 10 percent is available for administrative costs. An effective plan for providing administrative support follows.

PLANNED FOR FY 1994:

RSPA requires $1,225 thousand to administer the grant programs. This amount will be paid to the RSPA account and will be used as follows:

> **$65** thousand will be used to print notices and to prepare application kits for 60 to 100 potential grantees and 400 Indian tribes;
>
> **$30** thousand will be used to purchase computers and other equipment necessary for rapid and economical communication and record keeping to ensure fiscal accountability and administrative monitoring;
>
> **$65** thousand will be used for staff travel to assist states and Indian tribes to prepare grant applications and to resolve problems in program implementation;
>
> **$193** thousand will be used to upgrade and support state use of Hazardous Materials Information Exchange (HMIX) for program/administrative reporting to RSPA; and
>
> **$80** thousand will be used to pay for the electronic transfer of funds to grantees via the HHS system.
>
> **$615** thousand will be used to pay the salaries of the Program Manager, State and Local Coordinator, Grants Specialists, Program Analysts and a clerk who will perform grants-related tasks.

Also, **$177** thousand will be transferred to FEMA/EPA from the administrative funds available to RSPA for administrative expenses associated with their support for Planning and Training Grants. Negotiations with FEMA/EPA are currently underway concerning regional support for the administration of this program.

CONSEQUENCES OF NOT FUNDING:

Administrative support for Washington and regional elements would not be available causing the program to cease operations.

TRAINING CURRICULUM DEVELOPMENT

The HMTA requires the Secretary of Transportation, in coordination with FEMA, NRC, EPA, DOL, DOE, HHS and NIEHS, using the existing coordinating mechanisms of the National Response Team and, for radioactive materials, the Federal Radiological Preparedness Coordinating Committee, to develop and update periodically a curriculum which consists of a list of courses necessary to train public sector emergency response and preparedness teams.

APPROACH:

The curriculum must contain a recommended course of study for training public sector employees to respond to accidents and incidents involving the transportation of hazardous materials; for planning responses; recommended basic courses and minimum hours of instruction; and appropriate emergency response training and planning programs developed under other federal grant programs. The curriculum must provide a course or guidelines for training to enable public sector employees to comply with the regulations issued by the Occupational Safety and Health Administration (OSHA) of DOL and EPA and standards issued by the National Fire Protection Association (NFPA). RSPA is required to consult with regional response teams and other persons who provide training for responding to hazardous materials incidents. RSPA is using the federal interagency coordination group to ensure compliance with these extensive requirements. A recent analysis of state and local government emergency response capabilities indicated that only a small percentage of communities are adequately prepared to deal with hazardous materials transportation incidents. Establishing a national curriculum, based upon performance standards, will greatly assist responders in dealing with hazardous materials emergencies.

ACCOMPLISHMENTS:

RSPA is funding development of a national curriculum for training hazardous materials responders to ensure a set of accepted standards for hazardous materials response training. Draft curriculum guidelines, available in June 1993, form a significant milestone in the development of a national hazardous materials training curriculum. The national curriculum will be articulated in two ways: first, as training guidelines to measure the adequacy of courses; and second, as the more traditional model curriculum with required hours and courses. The national curriculum, acting as a measuring stick for grant applications, will help responders obtain training which assists them in meeting OSHA and EPA regulations and NFPA guidelines.

PLANNED FOR FY 1994:

In FY 1994, RSPA requests a total of **$700,000** to be used as follows:

$175 thousand will be used to update and revise performance/training standards;

$25 thousand will be used to publish 1994 performance and training standards;

$25 thousand will be used to update and publish a 1994 Course Information Catalogue;

$115 thousand will be used to deliver professional refresher seminars for training managers and state/local instructors;

$20 thousand will be used to conduct national panel meetings on standardized student testing;

$20 thousand will be used to conduct national panel meetings on state and local training program evaluation and assessment;

$165 thousand will be used to hold a national seminar on hazardous materials courses to inform potential grantees of the suitability and availability of courses. A portion of these funds will be disbursed to other agencies involved in the curriculum development process to pay for their specific expertise which is not available elsewhere;

$105 thousand will be used to develop distant learning programs and alternative training systems for hazardous materials planning and response for volunteer audiences, to be disseminated for state and local use; and

$50 will be used to offset the expense of validating the Emergency Response Guidebook.

CONSEQUENCES OF NOT FUNDING:

Human error continues to be the single most often cited reason for hazardous materials incidents. Emergency responders are particularly vulnerable to the adverse consequences of hazardous materials incidents. Without adequate training, the objective of the national curriculum, they will be less well equipped to meet such emergencies.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

PIPELINE SAFETY

(PIPELINE SAFETY FUND)

For expenses necessary to conduct the functions of the pipeline safety program [and], for grants-in-aid to carry out a pipeline safety program, as authorized by section 5 of the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979, [$15,050,000 to] *and to discharge the pipeline program responsibilities of the Oil Pollution Act of 1990, $18,887,000, of which $2,565,000 shall be derived from the Oil Spill Liability Trust Fund, to remain available until expended; and of which $16,322,000 shall* be derived from the Pipeline Safety Fund, of which [$7,700,000] *$7,975,000* shall remain available until expended. *(Department of Transportation and Related Agencies Appropriations Act, 1993).*

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY FUND

UNAVAILABLE COLLECTIONS (in thousands of dollars)

Identification code 69-5172-0-2-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
01.00	Balance, start of year..........	17,483	17,708	17,708
02.00	Receipts........................	14,327	15,706	17,078
04.00	Total: Balances and collections....................	31,810	33,414	34,786
	Appropriation:			
05.00	Pipeline safety...............	-13,553	-15,050	-16,322
05.00	Rental payments...............	-481	-481	-576
05.00	Research and special programs.	-165	-175	-180
05.99	Total appropriations..........	-14,199	-15,706	-17,078
06.10	Unobligated balance returned to receipts...........	97		
07.00	Balance, end of year...........	17,708	17,708	17,708

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-5172-0-2-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
00.01	Operations	5,889	7,350	8,347
00.02	Research and development	745	700	975
00.03	Grants	6,885	7,422	7,000
	Total direct program	13,519	15,472	16,322
01.01	Reimbursable program		25	25
10.00	Total obligations	13,519	15,497	16,347
	Financing:			
17.00	Recovery of prior year obligations	-180		
21.40	Unobligated balance available, start of year	-218	-422	
24.40	Unobligated balance available, end of year	422		
25.00	Unobligated balance expiring	10		
39.00	Budget authority (gross)	13,553	15,075	16,347
	Budget authority:			
	Current:			
40.00	Appropriation	13,553	15,050	16,322
	Permanent:			
68.00	Spending authority from offsetting collections		25	25
	Relation of obligations to outlays:			
71.00	Total obligations	13,519	15,497	16,347
72.40	Obligated balance, start of year	6,528	7,342	9,220
74.40	Obligated balance, end of year	-7,342	-9,220	-10,462
77.00	Adjustments in expired accounts	-87		
78.00	Adjustments in unexpired accounts	-180		
87.00	Outlays (gross)	12,438	13,619	15,105
	Adjustment to budget authority and outlays:			
88.00	Deductions for offsetting collections: Federal funds	0	-25	-25
89.00	Budget authority (net)	13,553	15,050	16,322
90.00	Outlays (net)	12,438	13,594	15,080

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-5172-0-2-407

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Direct Obligations:			
Personnel Compensation:			
11.1 Full-time permanent	2,849	3,042	3,518
11.3 Other than full-time permanent	17	23	24
11.5 Other personnel compensation	71	74	77
11.9 Total personnel compensation	2,937	3,139	3,619
12.1 Personnel benefits: Civilian	628	785	905
21.0 Travel and transportation of persons	467	425	531
22.0 Transportation of things	11	30	30
23.3 Communications, utilities, and miscellaneous charges	310	245	245
24.0 Printing and reproduction	31	60	60
25.2 Other services	2,146	3,573	3,832
26.0 Supplies and materials	23	40	40
31.0 Equipment	81	60	60
41.0 Grants, subsidies, and contributions	6,885	7,115	7,000
99.0 Subtotal, direct obligations	13,519	15,472	16,322
99.0 Reimbursable obligations	0	25	25
99.9 Total obligations	13,519	15,497	16,347

PERSONNEL SUMMARY

Full-time equivalent employment	57	69	67

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
TRUST FUND SHARE OF PIPELINE SAFETY

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-8121-0-7-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
10.00	Total obligations	--	--	2,565
	Financing:			
40.00	Budget authority (appropriation)	--	--	2,565
	Relation of obligations to outlays:			
71.00	Total obligations	--	--	2,565
90.00	Outlays	--	--	2,565

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
TRUST FUND SHARE OF PIPELINE SAFETY

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-8346-0-7-407

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Direct Obligations:			
21.0 Travel and transportation of persons......................			20
24.0 Printing and reproduction........			5
25.1 Consulting services..............			2,520
25.2 Other services...................			6
31.0 Equipment........................			14
99.9 Total Obligations.............	--	--	2,565

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Summary of Requirements - Budget Authority

PIPELINE SAFETY

	FY 1993 Enacted	FY 1994 Request
Full-time Permanent Positions	72	72
($000)		
Personnel Compensation and Benefits	$ 3,924	$ 4,524
Operating Expenses	1,913	2,064
Total Contract Programs	1,513	1,804
Breakdown of programs:		
Information Systems	402	402
Risk Assessment & Tech Studies	130	355
Compliance	76	76
Training & Info. Dissemination	855	871
Emergency Notification	50	100
Implementation of the Oil Pollution Act	---	2,520*
Research and Development	700	975
Grants	7,000	7,000
	$ 15,050	$ 18,887

* Only Contract Program funding is represented here. Operating Expenses derived from the Trust Fund, which totals $45 thousand, are stated on pgs. 133-134.

APPROPRIATION SUMMARY
PIPELINE SAFETY
EXPLANATION OF ADMINISTRATIVE EXPENSE INCREASES/DECREASES
(in thousands of dollars)

Total Personnel Compensation	$4,524	+600

This request for personnel compensation includes a reduction for two workyears (FTE) consistent with the President's goal of reducing the government workforce. Based on an analysis of FY 1992 and FY 1993 data, we have been able to develop a refined pay model used to accurately project our needs for FY 1994.

Within-Grades and Merit Pay	+153

The increase, based on an analysis of FY 1991 and FY 1992 data, includes costs associated with merit performance for GM and GS employees. The increase also includes mandatory within-grade increases required for those employees who have met the required criteria.

Annualization of FY 1993 Pay Raise	+32

The requested increase is needed to cover the cost associated with the annualization of the portion of the FY 1993 pay raise that carries over into FY 1994.

Transit Benefit Program	+25

The requested increase is required to pay for the costs of the FY 1994 DOT established Transit Benefit Program.

Discretionary Increases	+390

The requested increase will provide salaries and benefits for seven positions that were hired after the start of FY 1993. Delays in hiring technical personnel (engineers, analysts, etc.) were anticipated for FY 1993 and were therefore not funded. In October, 1993, RSP expects to be fully staffed and is therefore requesting full funding for FY 1994.

Operating Expenses	$2,064	+151

Establish District Office in Louisiana	0

RSPA plans to establish a District Office in Baton Rouge, Louisiana, using funding within the base to establish the office. The Baton Rouge District Office will operate under the supervision of the Regional Office in Houston, Texas to address offshore pipelines in the Gulf of Mexico. The Gulf and its inlets, is one of the nation's most environmentally sensitive areas and is traversed by 13,000 miles of pipelines, subdivided into more than 200 offshore pipeline inspection units. This area has the highest concentration of offshore-to-onshore interstate transmission pipelines, posing a relatively greater risk of accident. Several of the most recent serious pipeline accidents have occurred in Louisiana. Also, there were 100 reportable offshore accidents with 20 fatalities and 16 injuries for the 6-year period ending July 1990. OPS has initiated comprehensive inspections of these offshore Gulf of Mexico pipelines.

The creation of a District Office will enable the Southwest Region to provide more direct oversight of offshore pipeline operations, while significantly lowering travel costs necessary to monitor our offshore effort. The District Office in Baton Rouge would provide the means to carry out this increasingly important aspect of the OPS mission. OPS estimates an additional 40 days will be available for field work on compliance activities, a 20-25 percent increase over the 160 days we now have for inspector field work and related activities in the Louisiana area. In addition, by locating staff directly in Louisiana, RSPA will be better able to implement the Pipeline Safety Act of 1992, requires underwater inspection of pipelines in navigable waters, similar to the offshore requirements of P.L. 101-599. This legislation will also require OPS to address abandoned pipelines, an estimated 4,000 miles of which are off the coast of Louisiana.

Travel and Transportation	$581	+126

The requested increase is required for increased compliance/inspection and state liaison activities. All compliance/inspection and state liaison positions will be in a travel status approximately 50 percent of the time. OPS requests increased funds to cross train personnel and make maximum use of our skill mix by bringing regional staff to Washington for extended temporary duty assignments to work on special technical projects. This will allow OPS to work more cost effectively and finalize projects in a prompt manner. The increase will also allow advisory committee members to attend two technical pipeline safety advisory committee meetings.

The request covers travel and a change of duty station move associated with the requested new district office in Louisiana ($23K).

The request also covers travel pertaining to OPA. These funds will be disbursed from the OPA Trust Fund ($20K).

Working Capital Fund (WCF) $1,029 0

This request, which is the same as FY 1993, is necessary to fund telecommunication costs, postage, FTS, etc. This estimate is dependent on the Office of the Secretary's WCF budget being held at the same level as FY 1993 and does not include inflation, which is consistent with the President's goal of reducing administrative costs of government.

Communications, Utilities & Miscellaneous $245 0

This request, which is the same as FY 1993, is needed to cover costs associated with communications, utilities and miscellaneous charges not covered under the working capital fund. These charges include: local phone charges, long-distance phone calls made under C&P, worker's compensation, etc. This request does not include inflation, which is consistent with the President's goal of reducing administrative costs of government.

Printing $65 +5

The request is needed to cover the continuing costs associated with printing required rulemakings and reports. Includes an increase of $5 thousand for OPA technical reports. OPA funds will be disbursed from the OPA Trust Fund.

Training $30 +6

The request is for training necessary to meet work redesign initiatives for OPS personnel. Includes an increase of $6 thousand for specialized training to enhance response expertise for OPS staff relating to OPA. OPA funds will be disbursed from the OPA Trust Fund.

Supplies & Materials $40 0

The request is for necessary office supplies and materials to accomplish our mission. This request does not include inflation, which is consistent with the President's goal of reducing administrative costs of government.

Equipment $74 +14

The request is necessary in order to maintain and enhance equipment. Also, RSPA is proposing modular or systems furniture for the new district office. The increase of $14 thousand is for specialized computer equipment which would enhance storage capacity for software specifically for OPA mapping requirements. OPA funds will be disbursed from the OPA Trust Fund.

PIPELINE SAFETY

FY 1994 BUDGET REQUEST

MISSION

> **"To protect the people and the environment of the United States through a comprehensive pipeline safety program that includes effective risk management, thorough pipeline compliance, high quality training and a strong, balanced federal/state partnership."**

RSPA's Office of Pipeline Safety (OPS) oversees the safe transportation of natural gas to 55 million residential and commercial customers, and the environmentally sound transportation of 25 percent of the nation's intercity freight, more than 605 billion ton miles of petroleum and other hazardous materials by pipeline. Our pipeline safety jurisdiction covers more than 2,000 gas pipeline operators with over 1.6 million miles of pipeline, and more than 200 operators and 155,000 miles of pipelines which transport hazardous liquids.

The pipeline safety program is authorized under the Natural Gas Pipeline Safety Act of 1968 (NGPSA) and the Hazardous Liquid Pipeline Safety Act of 1979 (HLPSA). Following enactment of the Oil Pollution Act of 1990, the Department redelegated responsibility for spill prevention and containment of oil and hazardous substances from pipelines to the Research and Special Programs Administration (RSPA). These responsibilities, defined under the Federal Water Pollution Control Act, further expand the role of RSPA in environmental protection, and cover categories of pipelines currently excepted by the HLPSA or regulations adopted thereunder.

The Consolidated Omnibus Budget Reconciliation Act of 1985 mandates the assessment and collection of annual user fees from the pipeline industry to fund the entire pipeline safety program.

The FY 1994 budget request seeks to implement the recommendations of OPS's extensive work redesign project. Many changes will occur in our program as we direct resources to those initiatives which we believe are essential to cost effectively deliver oversight of a nationally uniform program.

The keystone of a changed OPS is the implementation in FY 1994 of a risk assessment model as the basis for establishing operating priorities for the entire pipeline safety program, including the numerous mandates contained in the Pipeline Safety Act of 1992. These initiatives will best enable OPS to set priorities for pipeline safety risk reduction, to act to protect an aging pipeline infrastructure, and to respond to heightened Administration, public, and Congressional interest in environmental protection.

The pipeline safety program consists of these functional areas:

- **INFORMATION AND ANALYSIS** - Implements redesigned organizational structures and work processes. Collects, maintains, and assesses pipeline data to establish risk reduction priorities, identify trends, evaluate program effectiveness, and provide statistical support for federal and state pipeline safety initiatives.

- **RISK ASSESSMENT & TECHNICAL STUDIES** - Previously called "Rulemaking", this function has been renamed to reflect RSPA's initiative to explore all potential solutions (not merely rulemaking) for assuring safety and environmental protection. Identifies and develops measures to address the risks inherent in the transportation of natural gas, including associated liquefied natural gas facilities, hazardous liquids, and carbon dioxide by pipeline.

- **COMPLIANCE** - Carries out a national program to assure the safe operation of pipeline facilities to protect and preserve life, property, and the environment. This is achieved through planning and management of a risk based program of inspection and investigation, including oversight of state programs and increasing financial and technical assistance to states based on performance criteria. OPS will begin to develop positive qualitative measures of operator performance as well. Many other program elements support our goal of attaining increased compliance.

- **TRAINING AND INFORMATION DISSEMINATION** - Provides formal training: to promote compliance with pipeline safety regulations; to familiarize industry personnel, particularly operators of small gas systems, with the requirements of the regulations; and to educate federal and state inspectors in compliance requirements, inspection techniques, and enforcement procedures.

- **EMERGENCY NOTIFICATION** - Provides for a system of emergency notification of incidents involving the transportation of gas and hazardous liquids by pipeline, and information for federal, state, and local emergency responders and the public on the location and contents of pipeline facilities and operations.

- **IMPLEMENTATION OF THE OIL POLLUTION ACT (OPA)** - Comprehensive legislation (P.L. 101-380) amends the Federal Water Pollution Control Act, among other purposes, to minimize the environmental impact of oil spills and to improve public and private sector response capabilities. The Research and Special Programs Administration (RSPA), Office of Pipeline Safety (OPS) has been given the responsibility for implementing the mandates of OPA 90 applicable to onshore pipelines.

PROGRAM: INFORMATION AND ANALYSIS

ACTIVITY **(in thousands)**: INFORMATION SYSTEMS

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
61	402	402	0

PROBLEM STATEMENT:

RSPA's pipeline safety program is faced with a rapidly growing workload and a significant change in statutory and programmatic mission, from purely a safety focus to one of environmental protection as well. RSPA's pipeline safety staff of **65** is, on an annual basis, addressing **25** rulemaking projects, **6** reports and studies, **460** inspections, **44** accident and complaint investigations, **128** compliance actions, **60** state gas and liquid program reviews, **60** state certifications/agreements, **58** state grant applications, **58** state grant allocations, **116** state requests for grant payments, **58** year-end grant payment reconciliations, **60** Congressional information requests, **30** open NTSB safety recommendations, and **240** requests under the Freedom of Information Act. Information system expansion and enhancements are needed to improve the management of this workload, set program priorities, and allocate resources. Staff in OPS headquarters and regional offices, as well as our state partners, need to have continual access to this information to perform their jobs efficiently.

The OPS work redesign analysis of pipeline safety work processes and external stakeholder expectations, intended to improve organizational effectiveness and productivity, identified numerous shortcomings that could be corrected by making full use of available information system technology. The Secretary's Task Force, General Accounting Office, and the Congressional Office of Technology Assessment have reviewed RSPA information systems and have emphasized the need for system improvements, particularly in the areas of data quantity, reliability, timeliness, and accessibility.

APPROACH:

RSPA's data contractor provides data entry, data retrieval, system development, and system maintenance support for operating the pipeline safety information system. Specific system improvements are identified, directed, and monitored by RSPA, and are carried out by the contractor. Much of the data resides on the Vax at the Volpe National Transportation Systems Center (VNTSC) in System 1032 database formats. VNTSC's Change Management Office is providing system support for developing work redesign-related data bases.

ACCOMPLISHMENTS:

The pipeline safety component of the Hazardous Materials Information System (HMIS) has been decoupled from HMIS and designated the Integrated Pipeline Information System (IPIS). IPIS is the primary tool for storing, retrieving, and analyzing pipeline safety data. It encompasses nine original data bases, plus an additional two data bases which evolved out of work redesign. The original nine data bases, showing FY 1992 workload indicators and expected increases in FY 1994, reflecting the addition of previously unregulated hazardous liquid pipelines, follow (where available):

	*FY 1992	*FY 1994
Annual reports	2,600	2,978
Accident reports	225	408
Telephonic reports	2,047	4,000
Safety-related condition reports	400	550
Operator inspections data	350	550
Compliance data	55	100
User fee data	1,400	1,600
State grant data	--	--
PIPP program	--	--

* Projections based on available information

RSPA has improved access to these data bases to make the data more readily available to staff and other interested parties (e.g., Congress, state officials, and industry). Training in user access programs has also been given additional emphasis. RSPA staff is continuously monitoring data integrity, and is currently surveying the accuracy of previous data entry. This effort will lead to a structured data verification process to be implemented in the near future, as resources allow.

The following data bases will be on line in FY 1993:

- **Office Management Information System (OMIS)** centralizes access to tracking systems and creates electronic office filing systems [system implementation scheduled for completion in FY 1993].

- **Regional Information System and Local Area Network (REGIS)** increases communications among regions and between headquarters and regions [will be in place in three regions in FY 1993].

PLANNED FOR FY 1994:

In FY 1994, RSPA will expand REGIS to the remaining two Regional Offices. This expansion will represent a significant step toward decentralizing decision making responsibility to the regions. Hardware and software will be purchased and installed ($222K).

In addition, RSPA will begin two new data bases -- Managing Regulatory Development (MARED) and Safety Issue Papers (SIPS):

- MARED will streamline and standardize the regulatory development process through integration of regulatory history and institutional knowledge, tracking of regulatory actions, and consolidation of interpretations. MARED will be critical for developing non-regulatory solutions and applying the risk model to all program activities. FY 1994 work will begin the definition of initial system requirements and design ($20K).
- SIPS will provide current synopses on various regulatory projects, studies, accidents, and state initiatives for use in writing speeches and Q&As. FY 1994 work will include system design, development, and testing ($20K).

The remaining data bases will be maintained and enhanced:

- Maintenance will continue on all nine original data bases and OMIS to ensure collection and analysis of pipeline safety data to support regulatory initiatives and compliance policies and meet all mandated reporting requirements ($100K).
- A number of software and hardware enhancements and communications upgrades will be introduced related to (1) the further development of the annual report data base to incorporate hazardous liquid reports that will be required by FY 1994; (2) beginning the expansion of data requirements for gas statistics mandated by the 1988 Pipeline Safety Reauthorization Act; and (3) the addition of new hazardous liquid pipelines in environmentally sensitive areas, and low stress pipelines which will become subject to spill response regulations adopted under the Oil Pollution Act ($40K).

CONSEQUENCES OF NOT FUNDING:

Funding at there requested level is necessary to assure the continued progress of the OPS Work Redesign initiative. The inability to adequately administer IPIS would compromise the application, reliability and accuracy of existing data. Consequently, there would be no solid analytical basis to support safety studies, reports, and regulations; identify emerging trends that may signal a threat to public safety or the environment; meet Congressionally mandated reporting requirements; be responsive to requests from Congress, the public, interest groups, and the media for risk-based data; handle the increasing demand for data under the Freedom of Information Act; and efficiently carry out pipeline safety user fee assessment and grants management. Regional staff would be at a disadvantage in responding to pipeline emergencies by not having quick access to critical safety data.

Further, the momentum of decentralization would be lost without the availability of the LAN and E-Mail in all regions to be developed under REGIS. Without computer-aided support for regulatory development under MARED and enhanced outreach tools under SIPS, RSPA's credibility would suffer because it would not be in a position to set an effective pipeline safety agenda and carry out a proactive risk-based pipeline safety program.

PROGRAM: RISK ASSESSMENT AND TECHNICAL STUDIES

ACTIVITY (in thousands): ADVISORY COMMITTEE AND PUBLICATION SUPPORT

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
87	130	130	0

Note: This Program was titled RULEMAKING in FY 1993. It has been retitled for clarity.

PROBLEM STATEMENT:

Various support activities are essential throughout the regulatory process to assure that while the public's concern for safety is sufficiently addressed, the pipeline industry is not unduly burdened with unnecessary regulations.

RSPA's two Advisory Committees, mandated under the Natural Gas Pipeline Safety Act and the Hazardous Liquid Pipeline Safety Act, must review proposed rulemakings for technical feasibility, reasonableness, and practicability. Public hearings and meetings may also be held to collect additional information and discuss alternative solutions to various problems. Pipeline safety staff members need to monitor activities of professional organizations and code-setting bodies, such as the American Society of Mechanical Engineers, to stay abreast of technological developments and industry standards.

After promulgation, notices and regulations must be published in the Federal Register as required by law. Copies of pipeline safety regulations are reprinted annually from the most recent Code of Federal Regulations (CFR) and made available to pipeline operators, state inspectors, and the public to ensure all concerned parties have the latest, most comprehensive compilation of regulations. A regulatory docket must be maintained to provide easy access to all regulatory documents, including comments received from the public.

APPROACH:

This initiative, previously called "Rulemaking Support" has been renamed to reflect RSPA's initiative to reduce regulatory burden where possible and assure that all other means of assuring safety and environmental protection are evaluated. Using a risk-based approach to managing the program, a preliminary assessment is made prior to addressing any safety issue to determine if some action short of rulemaking, such as issuance of an alert notice, an advisory bulletin or reliance upon an industry standard, can adequately address the issue at hand. If a decision is made to proceed with a proposed rulemaking project, formal technical and economic analyses are required to determine the relative benefits and costs of proposed actions. These analyses are conducted by the pipeline safety risk assessment and research studies staff or the Volpe National Transportation Systems Center (VNTSC), if in-house expertise is not available.

ACCOMPLISHMENTS:

RSPA developed a new risk assessment model through a series of polls of experts, public meetings, internal and external analyses of problems and solutions. The result expected by the end of FY 1993 is a list of prioritized solutions and recommendations for assignment of resources. RSPA also completed regulatory analyses critical to priority projects concerning excess flow valves in service lines, the regulation of hazardous liquid pipelines operated at low stress, and the redefinition of terms associated with distribution systems.

The RSPA Administrator expanded the scope of the two Advisory Committees beyond their statutory base of reviewing regulations and is using them as a sounding board for discussing policy matters and emerging pipeline safety issues. This role is consistent with provisions of the Pipeline Safety Act of 1992.

PLANNED FOR FY 1994:

During FY 1994, regulatory analyses will be required to support a range of rulemakings related to preservation of the infrastructure, including, for example, the inspection, maintenance, and test requirements for check valves and breakout tanks.

The Advisory Committees will play an increasingly important role in RSPA efforts to prioritize pipeline safety and environmental issues based on risk. RSPA will also hold round table discussions with industry and state leaders pertaining to specific issues or solutions generated in the risk assessment process. Solutions may be alternatives to rulemakings. The meetings of the Committees and other groups of experts will serve as a major resource in developing a strategic plan to provide direction to the pipeline safety program in the next few years. Support costs include recording meetings, publishing notices of meetings and preparing supportive analyses.

Additionally, to support planned regulatory activities, RSPA must publish notices and regulations in the Federal Register and republish the CFR.

CONSEQUENCES OF NOT FUNDING:

If RSPA cannot conduct essential risk assessments, research studies, and analyses, we will be unable to accurately rank risks and identify the best solutions to address those risks.

Regulations, to the extent they are the best solution to a problem, cannot be issued without being reviewed by the Advisory Committees to advise the Department regarding the technical feasibility, reasonableness, and practicability of each proposed rulemaking.

PROGRAM: RISK ASSESSMENT AND TECHNICAL STUDIES

ACTIVITY (in thousands): STUDIES OF PIPELINE INFRASTRUCTURE

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	225	+225

Note: This Program was titled RULEMAKING in FY 1993. It has been retitled for clarity.

PROBLEM STATEMENT:

The pipeline infrastructure of this country is aging. A report prepared for Congress in 1985 identified over 15,000 miles of gas transmission pipelines in operation at that time that were constructed prior to 1940. Some gas transmission pipelines constructed in 1899 are still in operation. Gas distribution lines are even older - many of these pipelines in large urban centers were constructed in the 1880-1890's.

New materials are continually being developed for pipelines constructed today and for replacement and rehabilitation of existing pipelines. In the development of a Risk-Based Prioritization Plan, RSPA needs to continue to study new materials and new pipeline construction, operation and rehabilitation technology to determine how to apply these technologies and to consider whether to adopt new federal safety standards.

Failure to conduct studies will result in stifling the development of new technology because of restrictive regulations. Further, RSPA would not make optimum use of the Risk-Based Prioritization Plan to assess alternative solutions to future problems in new material and integrity testing technology.

Distribution Pipelines - Mains and Service Lines - Service lines are lines emanating from the street to residences and are in proximity, and therefore most hazardous, to the public. There are over 50 million service lines in the country, totalling approximately 360,000 miles. In addition, there are about 888,000 miles of mains in the country. Approximately 15% of service lines in the country are customer-owned service lines that are not being maintained by gas distribution operators.

There are over 56,000 miles of cast iron pipelines in distribution systems in the country, and system-wide replacement costs in large cities would exceed several million dollars per mile. Since 1984, there have been 124 incidents involving the failure of cast iron pipe, resulting in 17 deaths.

Gas Transmission Pipelines - There are over 275,000 miles of gas transmission lines in the country and over 31,000 miles of gathering lines in non-rural areas. There are about 100 miles of cast iron gas transmission lines in the country.

Offshore Pipelines - There are about 13,300 miles of offshore gathering and transmission lines subject to OPS. Ruptures of offshore pipelines result in serious pollution to the offshore environment, and there have been an average of 12 reportable offshore gas and hazardous liquid pipeline failures per year.

Hazardous Liquid Pipelines - There are over 155,000 miles of hazardous liquid pipelines. About 2,700 pipeline spills (including pipelines not currently regulated by RSPA) are reported annually, of which approximately 50 percent affect water. Over the past four years, operators have reported an escalation of 825% of costs of property damage from liquid pipelines which RSPA currently regulates. Protection of the environment from pollution due to pipeline ruptures has become of critical importance to the Federal Government, illustrated by the environmental mandates in the Pipeline Safety Act of 1992 and the Oil Pollution Act of 1990.

APPROACH:

RSPA will use contractors with familiarity in methods for inspection of pipeline integrity, rehabilitation of old pipelines, and the use of new materials and application of new pipeline technology to determine ways to incorporate these factors into the pipeline safety program. Each type of pipeline -- distribution, gas transmission, hazardous liquid, and offshore -- requires studies tailored toward the unique operating environment and characteristics.

RSPA's Risk-Based Prioritization Plan will be utilized to determine the most significant problem areas for each type of pipeline. The associated risk of each type of problem will be weighed to determine alternative solutions to address each problem. These alternative approaches include advisory notices and alert bulletins, research, voluntary industry initiatives, or regulations. RSPA will analyze the costs commensurate with the benefits of each alternative approach.

RSPA views the study of aging pipeline infrastructure issues as a multi-year effort. Future technical studies will focus not only on the types of pipelines, but will consider the extent of the applicability of those studies to existing pipelines and future pipelines. For instance, design and construction requirements are only applicable to future pipeline systems and would not be applicable to pipelines already in place, while operation and maintenance requirements are applicable to all pipelines.

Technical studies should include: use of high strength steel pipe, plastic pipe material and joining technology; pipeline rehabilitation and insertion technology; underground utility location technology; excess flow valve specifications; and electronic mapping; automated leak detection systems; remote operated underwater inspection technology; periodic underwater inspections; and internal inspection device technology. Additional studies should focus on the protection of areas identified as environmentally sensitive and protection of offshore pipelines from corrosion.

ACCOMPLISHMENTS:

The Risk-Based Prioritization Plan has been discussed with many of RSPA stakeholders to assure that the Plan includes broad input from all affected stakeholders. Many studies addressing problem areas and mandated legislative requirements are currently underway. An ANPRM on excess flow valves was published on December 20, 1992 (55 FR 52188) and the draft NPRM is undergoing final review before being issued. An NPRM proposing a revised definition of gas "gathering line" was published on September 25, 1991 (56 FR 48505) and a draft supplemental NPRM is currently undergoing review in RSPA. A final rule on underwater inspection of offshore pipelines in shallow waters in the Gulf of Mexico was issued on December 5, 1991 (56 FR 63764), and a study by the Marine Board of the National Research Council will assist RSPA in determining the need for mandatory, systematic, and, where appropriate, periodic inspection of underwater pipelines.

In addition, the information gained in the underwater inspection of offshore pipelines in the Gulf of Mexico will be used in developing standards for underwater inspection of pipelines in the remainder of the U.S. coast and in navigable rivers. An NPRM regarding qualification of pipeline personnel is under development.

PLANNED FOR FY 94:

Several technical studies have been identified for implementation in FY 1994. Technical studies to support either mandated rulemaking, or possible alternatives to rulemaking for distribution pipelines include the following issue areas:

- Excess flow valves - The Pipeline Safety Act of 1992 requires the issuance of regulations prescribing the circumstances, if any, under which these devices must be used to mitigate the risk of explosion due to the rupture of a service line.
- Qualification of Pipeline Personnel - The Pipeline Safety Act of 1992 requires that pipeline personnel be tested and qualified to assure the individual's ability to recognize and react to abnormal operating conditions. This requirement is

applicable to all pipeline operation and maintenance personnel; i.e., personnel employed by distribution, transmission, offshore, and hazardous liquid pipeline companies and their contractors.

Technical studies to support either mandated rulemaking, or possible alternatives to rulemaking for gas transmission lines (and gathering lines in non-rural areas) include the following issue areas:

- Gas gathering lines - The Pipeline Safety Act of 1992 requires that "gas gathering" lines and "regulated gas gathering" lines be defined.
- High-density population areas - The Pipeline Safety Act of 1992 requires issuance of regulations requiring operators to identify pipeline facilities located in high-density population areas and maintain maps identifying such areas.

Technical studies to support either mandated rulemaking, or possible alternatives to rulemaking for offshore pipelines include the following issue areas:

- Requirements for underwater inspection of pipelines in shallow water in the Gulf of Mexico -- Regulations mandated in the Pub. L. 101-599 were extended in the Pipeline Safety Act of 1992 to all offshore pipelines that could pose a hazard in navigable rivers.
- Abandoned offshore pipelines -- The Pipeline Safety Act of 1992 requires issuance of regulations to report on whether these pipelines have been properly abandoned.
- Periodic underwater inspection of offshore pipelines -- The Pipeline Safety Act of 1992 requires issuance of regulations for the mandatory, systematic, and, where appropriate, periodic underwater inspection of offshore pipelines and pipelines that could pose a hazard in navigable waters.

Technical studies to support either mandated rulemaking, or possible alternatives to rulemaking for hazardous liquid pipelines include the following issue areas:

- Emergency flow restricting devices -- The Pipeline Safety Act of 1992 requires issuance of regulations prescribing the circumstances under which operators of hazardous liquid pipelines must use emergency flow restricting devices.

CONSEQUENCES OF NOT FUNDING:

Funding at the requested level is necessary to assure the completion of mandates prescribed in the Pipeline Safety Act of 1992 and to continue the progress underway in addressing feasible means of protecting the aging pipeline infrastructure through a risk-based prioritization process. If mandated actions can not be considered in relation to one another and the risks they pose, an effective risk-management approach to pipeline safety will not be possible because funding will have to be segregated by project. RSPA believes this is both inefficient and unresponsive to real pipeline risks.

PROGRAM: COMPLIANCE

ACTIVITY **(in thousands):** INVESTIGATE/ANALYZE PIPELINE ACCIDENTS

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
20	26	26	0

Note: This program was titled COMPLIANCE & ENFORCEMENT in FY 1993. It has been retitled for clarity.

PROBLEM STATEMENT:

Pipeline accidents are the result of a variety of causes. In order to determine the cause of an accident, it is necessary to evaluate information derived from laboratory metallurgical investigation of the pieces of the pipeline that failed. In order to assure that a pipeline can operate safely in the future, it is critical that the cause of failure be determined. The availability of government facilities is usually inadequate to enable a timely conclusion of an accident investigation. OPS has no facilities to conduct metallurgical investigations.

APPROACH:

RSPA will utilize selected commercial laboratories with considerable expertise in performing investigations of pipeline accidents and in conducting related pipeline research. The requested funds will enable OPS to augment its post-accident evaluation capabilities by contracting out the metallurgical and engineering investigation of pipeline accidents.

ACCOMPLISHMENTS:

In 1992, OPS conducted 37 accident investigations, many of which resulted in compliance actions taken against pipeline operators responsible for accidents. Compliance actions are both punitive, resulting in fines, and corrective, resulting in specific remedial actions to assure safety and protection of the infrastructure. Experience gained as the result of accident investigations aids in the execution of future accident investigations, prioritization of future risk base inspections, and in the evolution of pipeline safety and environmental research and other initiatives, including regulations. As a result of findings from previous accident analyses, OPS, as a matter of policy, now requires operators experiencing a longitudinal split seam to reduce operating pressure by 20 percent until the pipeline is hydrostatically tested.

PLANNED FOR FY 1994:

RSPA anticipates that the need in FY 1994 for metallurgical analyses to support OPS enforcement activities will be substantially the same as in FY 1993. We will also have the benefit of experience resulting from previous metallurgical investigations and engineering analyses, and we will apply that knowledge to future investigations as well.

CONSEQUENCES OF NOT FUNDING:

Insufficient metallurgical testing data would result in a lack of data to determine proper compliance actions. Lack of funding for this initiative would prevent RSPA from determining the proper remedial actions to assure safety after an accident.

PROGRAM: COMPLIANCE

ACTIVITY (in thousands): IMPLEMENTATION AND MONITORING OF DRUG/ ALCOHOL MANAGEMENT INFORMATION SYSTEM

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
50	50	50	0

Note: This program was titled COMPLIANCE & ENFORCEMENT in FY 1993. It has been retitled for clarity.

PROBLEM STATEMENT:

Although general use of drugs in the pipeline industry indicates a positive rate of less than 2 percent, there is a need to review of operator drug testing statistical data to support regulatory and compliance decision making. Currently, RSPA does not have the data necessary to support drug program decision making or the Department's policy that modal drug testing programs be thoroughly and consistently applied. To provide an adequate level of program review and assist OPS in decision making, additional resources are required to implement that portion of the Department's the Management Information System (MIS) reporting requirements applicable to pipeline operators. When adopted, operators would have to submit statistical data annually on their drug testing programs (and alcohol testing as well should RSPA adopt such testing, as currently proposed).

APPROACH:

In FY 1993, the Department and each of the modal administrations will issue a final rule mandating a new automated MIS for the drug rule (and, if adopted, alcohol rules as well). OPS expects that in the fall of 1993 over 3000 pipeline operator will initiate recordkeeping procedures to prepare for the submission of drug testing statistical data beginning in 1994. Approximately $50K would be required for a comprehensive review of operator reports, data entry, and resubmission of incorrect reports into the MIS. The requested funding is needed to provide a means of monitoring operator compliance with the drug and proposed alcohol testing regulations, and determining the extent to which drug testing, and alcohol testing if adopted, is having a positive impact on safety across all modes of transportation. RSPA is now responding to an increasing number of complex statistical issues, and the agency expects that alcohol testing and the design of evaluative studies would add to this workload.

ACCOMPLISHMENTS TO DATE:

The Department's Office of Drug Enforcement and Program Compliance, in conjunction with RSPA and other modal administrations, has been developing an MIS program to track the impact of transportation industry drug testing programs. Each modal administration has provided an assessment of the impacts on its resources and the industry it regulates, including estimates of time and cost imposed on individual firms and industry in general to meet MIS requirements. Each modal administration also has provided a strategy for data collection along with information on how reports from operators would be processed internally, and the time and resources required for data entry, verification, and analysis.

A pilot program is currently underway to examine how pipeline operators would collect the necessary statistical data and complete the required report for submission to OPS.

PLANNED FOR FY 1994:

In FY 1994, OPS plans to develop a computer-based program that would facilitate data entry through submission of the required annual statistical data by electronic modem as well as hard copy. This program would allow OPS to manipulate the data and generate various types of reports comparing different types of pipeline operators, positive rates, geographical locations of operators, and categories of employees testing positive. The data would allow OPS inspectors to target operators who may not be in full compliance with the regulations based on information submitted on their annual reports, leading to potential enforcement actions. OPS has no valid industry-wide statistical data on the positive test rates in the pipeline industry. The data on random test percentages from operators, as well as contractor testing data, could provide substantial information to address the concerns of the pipeline industry to reduce the 50 percent random testing rates.

CONSEQUENCES OF NOT FUNDING:

This funding is necessary to enable OPS to assure not only that pipeline operator policies, plans, and procedures are in compliance, but also that pipeline operators have implemented the mandated regulations and are complying with all aspects of the drug and alcohol testing regulations. Failure to fully fund the MIS initiative will seriously hamper OPS's drug and alcohol program activities. Submission of operator statistical data is critical to overall evaluation of the effectiveness of drug and alcohol testing. Implementation of this new data system will also allow OPS to respond more effectively to questions regarding its substance abuse prevention program in the coming years.
drugs redo

PROGRAM: PIPELINE SAFETY TRAINING AND INFORMATION DISSEMINATION

ACTIVITY **(in thousands):** PIPELINE SAFETY TRAINING AND INFORMATION DISSEMINATION

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
755	855	871	+16

Note: This program title reflects the combination of the training and information dissemination activities in one program activity.

PROBLEM STATEMENT:

Some 257 state and 24 federal inspectors assure the safety of this country's approximately **1,700,000** miles of natural gas and **155,000** miles of hazardous liquid and carbon dioxide pipelines that deliver critical energy products to businesses and homes across the country. Additionally, thousands of industry personnel work to design, construct, operate, and maintain these pipelines on a daily basis for more than **3,000** pipeline operators. This corps of safety inspectors and operator personnel must have thorough knowledge and understanding of the minimum federal pipeline safety requirements to competently perform their functions and prevent pipeline accidents from occurring. Training and information dissemination provide the understanding of the regulatory requirements which is the cornerstone of compliance.

There is currently a gap between course offerings at RSPA's Transportation Safety Institute (TSI) and course requests. In FY 1992, TSI was only able to offer 16 classes against a demand for 23 classes. From 1985 until July 1992, TSI had been unable to offer any classes to industry. In FY 1992, TSI responded to 61 percent of state requests and 10 percent of industry requests for classes. This shortfall makes it difficult for states to meet RSPA's requirement that state inspectors complete all applicable training courses at TSI in a 3-year period to be eligible for maximum grant funding.

It is critical that those expected by law to comply with Federal regulations are trained under the same curricula and level of understanding as those who enforce the regulations; otherwise industry is at a disadvantage and compliance suffers. Small operators, particularly, need easy-to-understand guidelines laying out their basic safety responsibilities. This need is heightened by new rulemaking activities, evolving technology, and retirement and turnover of operator personnel.

Meeting existing training and information dissemination demands has placed severe limitations on the resources available to develop necessary new course materials, seminar revisions, and state-of-the-art training techniques.

This funding request is necessary to place new emphasis on training industry personnel and provide an understanding of changes made to give regulatory relief. Without training and information dissemination, industry will not be able to benefit from regulatory reform. The request will also enable RSPA to address the material weakness in training for RSPA inspectors reported in the Secretary's 1990 Report to the President under the Federal Managers' Financial Integrity Act.

APPROACH:

RSPA provides resident training at its TSI facility in Oklahoma City and nonresident regional training at state-selected sites across the country. The resident training is generally one week in length and is conducted in a conventional classroom setting with an average of 20 students per class. It is an integral part of the federal/state cooperative program provided for under the pipeline safety acts. The nonresident training, consisting primarily of one-to-three day seminars attended by an average of 116 students, enables TSI to reach small operator personnel, and lends itself to addressing specific state and regional needs.

RSPA also provides comprehensive information, guidance, and technical direction through interpretation and dissemination of related materials. Information includes regulations manuals, alert notices, advisory bulletins, flowcharts, schematics, summaries of regulatory amendments, current enforcement issues, statistical data, and guidance for implementation of the anti-drug program.

ACCOMPLISHMENTS:

The pipeline safety training program has received national and international recognition and is now training more personnel than any other modal program at TSI. Since FY 1985, 112 classes and 148 seminars have been conducted for approximately 18,000 students. In FY 1992, 3,110 students were trained at 16 classes and 24 state seminars for a total of 65,680 training hours. This was an increase of 86 percent in students and 69 percent in training hours from FY 1985. Approximately 34,000 students have been trained in pipeline safety since 1973. Periodic training is also required as existing regulations are amended and new regulations are promulgated (e.g., the impending alcohol testing rule).

TSI processes approximately 25,000 requests for manuals and diskettes on an annual basis. TSI issued a "Guide for Preparing Pipeline Emergency Response Plans" and an accompanying 19-minute videotape, "Developing Emergency Response Plans for Pipeline Industry," to all state agencies for training purposes. Additionally, about 30 percent of staff time is spent providing technical assistance to industry through daily calls about regulations, applications, industry standards, and safety issues.

PLANNED FOR FY 1994:

The requested funding for FY 1994 would permit TSI to conduct 16 classes and 24 seminars and begin an appropriate level of industry training.

Industry computer simulation training for gas and liquid operators should continue based on FY 1993 "seed" money. Once in place, industry tuition fees would make the initiative self-sustaining. This training would increase overall pipeline operator safety by more thoroughly instructing dispatchers on the potentially hazardous situations they may encounter in controlling product movement, and what the proper response to those situations should be. This computer simulation has a critically important feature of allowing the dispatcher to train on his own system through use of state-of-the-art software.

RSPA will require TSI to assess the needs and accessibility to new training materials and information on pipeline safety regulations and technical guidance and quick reference guides that would assist operators with understanding and applying amendments; models for testing pipeline integrity and evaluation of surge and hydrostatic test pressures; and new instruments to determine adequacy for monitoring corrosion control systems and monitoring temperature on plastic lines.

CONSEQUENCES OF NOT FUNDING:

Training leads to consistent application of the regulations, and consistency has a direct bearing on safety. Industry also benefits when operator personnel can be trained under the same curricula as those who will apply the rules to the industry. Lack of adequate resources for this program would escalate the threat of pipeline failures causing damage to life, property, and the environment. Inadequate training of government inspectors results in inadequate inspections. Congressional mandates, such as enhancing operator qualifications and training, could not be effectively addressed. Lack of training undermines our commitment to ensure the safety and environmental soundness of the Nation's pipeline systems. Without augmentation by video and computer-based instruction, the efficiency of training programs for federal and state inspectors and industry would be greatly impaired.

PROGRAM: EMERGENCY NOTIFICATION

ACTIVITY (in thousands): NATIONAL RESPONSE CENTER SUPPORT

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
100	50	100	+50

PROBLEM STATEMENT:

RSPA needs timely, accurate notification immediately after the occurrence of a major pipeline incident to initiate appropriate corrective measures to prevent further damage or loss of life. RSPA also must have facts about the incident to be responsive to NTSB, Congressional, and media calls received in the aftermath of any major emergency. Having preliminary knowledge of the location, damage, and probable cause is critical to the determination by OPS of the type of response that is necessary.

The pipeline safety regulations require pipeline operators to telephonically report incidents involving the transportation of gas and hazardous liquids by pipeline at the earliest practicable moment following discovery. RSPA personnel spend significant time determining appropriate follow-up actions to operators' telephonic reports of pipeline incidents. The telephonic reports should contain enough information so that RSPA can determine if the incident involves a pipeline under its or a state agency's jurisdiction.

APPROACH:

The National Response Center (NRC), operated by the USCG, receives reports and initiates actions which enable the appropriated response to pipeline incidents. The NRC is operated 24 hours per day, 7 days per week, and provides immediate telephonic notification to RSPA and the National Transportation Safety Board (NTSB) of pipeline incidents which meet prescribed guidelines. The NRC service facilitates prompt federal and state response to emergencies.

ACCOMPLISHMENTS:

RSPA has utilized the NRC for over 11 years. In 1992, the NRC processed 2,047 reports of pipeline incidents requiring reporting under the pipeline safety regulations. This number does not include spills from pipelines that currently are not required to report under the regulations, including low stress pipelines. The NRC takes an average of 700 additional reports annually from non-jurisdictional pipelines.

PLANNED FOR FY 1994:

The Office of Pipeline Safety will continue to utilize the NRC for emergency notification services. These services are fundamental to administering an effective safety and compliance program.

CONSEQUENCES OF NOT FUNDING:

Lack of funding for the NRC emergency notification service would leave RSPA with no single, dependable, systematic source of information on pipeline incidents, denying RSPA immediate facts necessary for safety decisions during the critical first hours after an incident occurs. Ill-founded decisions made early on regarding emergency response, incident investigation, and remediation measures to be taken by the operator could jeopardize the future safe operation of the pipeline and compromise compliance actions.

IMPLEMENTATION OF THE OIL POLLUTION ACT PERTAINING TO PIPELINE SAFETY

MISSION

The Oil Pollution Act of 1990 (OPA 90), P.L. 101-380, is comprehensive legislation which amends the Federal Water Pollution Control Act, among other purposes, to minimize the environmental impact of oil spills and to improve public and private sector response capabilities. OPA 90 requires the preparation of oil spill response plans by pipeline operators, and requires the Department to review and approve certain of those plans. OPA 90 permits the Department to adjust liability limits for damages and removal costs resulting from oil pollution from a pipeline facility between a maximum of $350 million and a minimum of $8 million. The Secretary of Transportation delegated to the Research and Special Programs Administration (RSPA) Office of Pipeline Safety (OPS) the responsibility for implementing the mandates of OPA 90 applicable to onshore pipelines.

This responsibility further expands the role of OPS in protecting the environment from damage by pipeline facilities. Under OPA 90, RSPA is responsible for additional categories of pipeline facilities currently excepted by the Hazardous Liquid Pipeline Safety Act or regulations adopted thereunder. The new and enhanced requirements for pipeline facilities will substantially increase the need for response planning by operators. These same requirements will require OPS to undertake an entirely new responsibility -- plan review and approval -- with extensive work requirements.

Extensive interagency coordination will be required with the U.S. Coast Guard, the Environmental Protection Agency and the Department of the Interior's Minerals Management Service to assure a uniform approach to OPA implementation, minimize burdens on industry, and ensure conformity with the National Contingency Plan and Area Contingency Plans, necessary to comply with the statute. Additional coordination will be required with State environmental agencies to minimize duplicative planning requirements. Technical assistance and educational activities will be required to familiarize pipeline operators with OPA 90 requirements.

To implement OPA 90 responsibilities, OPS will have to perform a wide range of functions, including the following:

- As part of program start-up responsibilities, OPS will review available data bases and information systems concerning facility spill history and location and analyze past and potential impacts and consequences of pipeline spills on environmentally sensitive areas and public water intakes.

- OPS will use these findings to finalize regulatory criteria for determining which pipeline facility plans require federal review and approval and to provide guidance to operators in assessing their potential environmental vulnerabilities.

- OPS will later use these findings in studying parameters of liability limits and making adjustments by rulemaking to statutorily prescribed liability amounts to assure that liability limits are set proportionate to probable risk of damages from pipeline spills.

- As a recurring function, OPS will evaluate findings of contractor assessments of an estimated 1700 facility response plans, determine need for amendments to facility plans, and issue formal approvals for plans which comply with provisions of Title IV or require amendments to deficient plans.

- Following initial assessment, OPS will have to review plans periodically and, as required by the statute, review any plans which have not previously been reviewed but for which an operator has submitted a change.

- OPS will have long term responsibilities for ongoing coordination of this program with comparable activities of the U.S. Coast Guard, the Environmental Protection Agency and the Department of the Interior, particularly related to development of the Area Contingency Plans and statutorily required exercises and drills in which pipeline operators must participate.

- OPS will provide technical assistance to pipeline operators who have the responsibility of complying with the provisions of OPA 90 and will work with federal counterparts to involve the pipeline operators in area exercises designed to test spill response capability.

TRUST FUND SHARE OF PIPELINE SAFETY

PROGRAM: IMPLEMENTATION OF THE OIL POLLUTION ACT

ACTIVITY (in thousands): PIPELINE PLAN ANALYSIS & PRIORITIZATION

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	2,520*	+2,520

* Only Contract Program funding is represented here. Operating Expenses, which total $45 thousand are stated on pgs. 133-134.

PROBLEM STATEMENT:

Data from the National Response Center indicate that approximately 2,700 pipeline spills are reported each year. Of these, which include many low stress and other pipelines not currently regulated under the HLPSA, approximately half affect water. Further, in the past four years, operators reported an 825 percent escalation in property damage from liquid pipelines, from $7.4 million to $61.2 million, while the number of incidents remained relatively stable. These costs include cost of clean up and damage to other parties. Pipeline spill response planning is essential to building an improved National Response System to mitigate oil spills.

Title IV of the Oil Pollution Act of 1990 (P.L. 101-380) addresses improvements to the National Planning and Response System. In amending the Federal Water Pollution Control Act, OPA mandates that the Department review pipeline facility response plans, require amendments to any plan that is deficient, and approve any plan that complies with those provisions. The requirements apply to any submitted plan for a facility that, because of its location, could reasonably be expected to cause both significant and substantial harm to the environment by discharging into or on navigable waters ("waters of the United States") or adjoining shorelines.

OPA also establishes the implementation schedule for these provisions. Plans were required to be submitted by February, 1993 and must be approved within two years of submission if the facility is to remain in operation. The Department is authorized to allow the facility to operate for up to two years after the plan has been submitted without the Department's plan approval if the operator has certified that it can assure the means to make available private personnel or equipment necessary to respond to a worst case discharge. The Department is required to review plans periodically after the initial review.

Under Title IV, RSPA plan review must consider consistency with the

National Contingency Plan and the Area Contingency Plan(s) in which the pipeline operates; actions, including communications, that will be taken to ensure removal; the availability of necessary removal personnel and equipment to remove a worst case discharge, and to mitigate or prevent a substantial threat of such a discharge; training, equipment testing and drills to ensure safety of the facility; and a system for updating the plan.

Additionally, in Title I, Section 1004(d) amends the Federal Water Pollution Control Act, to provide for the adjustment of liability limits for damages and removal costs resulting from oil pollution from onshore facilities, including pipelines. The Department is permitted to establish by regulation liability limits of less than the statutorily prescribed amount of $350 million, but not less than $8 million. According to the House Conference Report No. 101-653, the Department should take into account various factors including size, storage capacity, oil throughput, proximity to sensitive areas, type of oil handled, history of discharges and factors relevant to risks posed by class or category of facility.

APPROACH:

For the purposes of OPA Title IV, any facility response zone in which any section of the pipeline could discharge in proximity to drinking water or environmentally sensitive areas is considered "a significant and substantial threat" and as such requires federal review and approval. Based on preliminary estimates, RSPA anticipates that approximately 5,000 facility plans will be submitted, of which 1,700 are estimated to meet the "significant and substantial" criteria requiring plan review and approval.

RSPA will be consulting with the U.S. Coast Guard, the Environmental Protection Agency, and the Minerals Management Service of the Department of the Interior to develop an approach to plan review and approval that will be as consistent government-wide as possible. To prepare the analyses of the plan, RSPA expects to award a competitive contract to a firm with engineering, response and environmental background.

In consultation with the U.S. Coast Guard, the Environmental Protection Agency, and the Department of the Interior/Minerals Management Service, RSPA will study the wide range of pipeline facilities subject to the OPA, to develop parameters for establishing priorities for environmental protection and estimate risks likely to be posed by the facility. In addition to factors specified in the House Conference Report, RSPA will consider geographical areas traversed, proximity of public drinking water intakes, classes of facilities, operating conditions, and damage history. Identification of cost factors for environmental damages will be included. These factors will be used in considering the need to redefine limits of liability.

ACCOMPLISHMENTS TO DATE:

In later December, RSPA issued an interim final rule establishing the requirements for response plans for on-shore pipelines. An early FY 1993 activity as been the receipt of the expected 5,000 facility response plans, mandated by Section 4202(b)(4). RSPA, with U.S. Coast Guard support, instituted a system to 1) register and acknowledge receipt of the plans, 2) sort plans according to whether they are for a facility that is reasonably likely to cause "substantial" harm to the environment by a discharge, or "significant and substantial" harm, and 3) verify that the operator has filed a self-certification of available response resources.

RSPA plans to become nominally familiar with inventories of environmentally sensitive locations and the ranking of these sites on a risk-priority basis. This work is being performed by other agencies, and RSPA plans to acquire access to the data for analysis in FY 1994. Additionally, with the receipt of the response plans, RSPA can review data available in the plans to determine potential vulnerability of the environmentally sensitive sites to "worst case" pipeline spills. This data will provide a useful basis on which to proceed in FY 1994.

As another FY 1993 task, RSPA plans to finalize nationwide criteria, developed through regulation, to determine which onshore pipeline facilities are required to submit plans and which of those submitted plans are required to be reviewed and approved. According to the House Conference Report No. 101-653, the criteria will include, but not be limited to, oil storage capacity, location of environmentally sensitive areas, and location of potable water supplies. The criteria should not necessarily omit smaller facilities near major drinking water supplies or environmentally sensitive areas.

RSPA expects to receive assistance from the U.S. Coast Guard in performing these preparatory functions in FY 1993 as well as technical advice from the Environmental Protection Agency. Additionally, supported by the U.S. Coast Guard, RSPA expects to establish methodology and procedures for pipeline facility plan review. While there are many characteristics of response planning for pipelines that are unique based on their operating systems and physical characteristics, there will be many areas of functional commonality between pipeline, vessel, marine, and tank facility plan review.

PLANNED FOR FY 1994:

RSPA will use the majority of the funding requested to procure services for analysis of response plans. Cost estimates have been based on a standardized plan approval process which includes assessing: 1) resources, communications and organizational capabilities, 2) spill detection and mitigation procedures 3) methodology of calculating worst case discharge, 3) consistency with the area contingency plan, 4) identification of environmentally sensitive areas and drinking water intakes, 5) adequacy of training, equipment testing, drill programs and other factors, and 6) plan amendments as needed to assure that plans meet requirements of the OPA. Additional analyses include determining areas of suggested improvements and performing quality control checks on 20% of the response plans to verify assumptions and parameters provided by operators, and regulatory support.

In addition, RSPA expects to review sources of geographic and environmental data, tabulate in categories the bases for zones meeting the higher risk criteria, quantify volume spilled for different types of spill scenarios and establish costs of consequences of these spill scenarios. RSPA expects to complete data analysis to determine whether the risk of pollution from oil pipelines can and should be prioritized and the appropriateness of using a risk-ranking scheme to include or exclude certain areas from environmental protection.

CONSEQUENCES OF NOT FUNDING:

RSPA currently estimates that incremental improvements from OPA-mandated oil spill response planning under the direction of RSPA have the potential to improve pipeline operators effectiveness in responding by 30 percent, hopefully reducing the $61.2 million in operator spill costs by a third. The value added from the federal review process will increase the likelihood of these improvements occurring.

Further, if owners or operators of pipeline facilities which pose a "significant and substantial" threat of harm to the environment from a discharge have **not** received a plan approval within two years of the date of plan submission, the Department must order that operator to stop handling, storing or transporting oil. If RSPA does not consider the feasibility of prioritizing areas by environmental importance, RSPA could not consider redefining limits of liability and pipeline companies would be unfairly and inequitably burdened with liability disproportionate to the probable risk of damages and clean up costs for oil spills that could occur from their operations.

PROGRAM: RESEARCH AND DEVELOPMENT

MISSION

The Pipeline Safety Research and Development (R&D) Program is mandated by the NGPSA and the HLPSA. With its historic and principal emphasis on applied research, the R&D program is well-positioned to provide the necessary technical and analytical foundation on which to build RSPA's risk-based pipeline safety program planning. As RSPA moves its pipeline safety program toward full risk management and away from solely regulatory-based solutions, the R&D program will provide the critical connection between risk and solution.

As such, the R&D program is critical to the success of RSPA in meeting the mandates of the Pipeline Safety Act of 1992 within the context of overall risk management. Congress recognized this relationship between the subjects it required RSPA to address and the agency's ability to effectively manage a comprehensive pipeline safety program, by providing substantial discretion in how the mandates are carried out. In addition, several of the statutory provisions themselves reflect creative approaches to important issues (e.g., customer-owned service lines and cast iron pipe) reflected in this budget.

	FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
R&D Program Totals:	850	700	975	+275
R&D Program Breakdown:				
Information Systems	225	325	350	+25
SCADA	50	50	50	0
Evaluate New Pipeline Component Technology	70	75	75	0
On-shore Liquid Gathering Line Survey	0	50	50	0
Cast Iron Survey	0	0	100	+100
Underground Storage	0	0	125	+125
Corrosion Protection - Breakout Tanks	0	0	50	+50
Custom-Owned Service Lines	0	0	125	+125
Risk Assessment	0	0	50	+50
Seismic Activity	0	100	0	-100
Identify Environmentally-Sensitive Areas and Protective Measures	100	100	0	-100
TAGS	150	0	0	0
Offshore Pipeline Inspection Tech.	100	0	0	0
Current Pipeline Corrosion Survey Techniques	75	0	0	0
Database for Pipeline Tanks	80	0	0	0

PROGRAM: RESEARCH AND DEVELOPMENT

MANAGEMENT AND ANALYSIS

ACTIVITY (in thousands): INFORMATION SYSTEMS DEVELOPMENT

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
225	325	350	+25

PROBLEM STATEMENT:

The Secretary's Safety Review Task Force and the Congressional Office of Technology Assessment, in their evaluations of RSPA pipeline safety data collection and analysis activities, recognized the limitations of OPS for collecting complete and accurate safety data. Those evaluations emphasized the need for enhancement of analytical systems. Further, a GAO report on pollution from pipelines recommended that we collect and develop information on the location of petroleum pipelines in a form suitable for use by the Coast Guard in responding to pipeline spills. The OPS work redesign initiative identified an enhanced information systems capability as fundamental to enabling OPS to increase its productivity.

RSPA needs support for analyses and evaluations in order to provide a basis for undertaking appropriate program initiatives in the near term and for shaping program direction in the long term. To date, our efforts to prioritize research studies and regulatory initiatives have been handicapped by analytical limitations.

OPS has been limited in its ability to analyze its information system needs. This has been particularly true with respect to matching the data it collects with the purposes the data are to serve. Ongoing attention must be given to information system design, development, and enhancement to achieve the desired level of data quality and quantity.

APPROACH:

As it has in the past, RSPA will use contract support to pursue this effort, which is more cost effective than hiring federal employees. New emphasis will be placed on system capabilities and features that facilitate risk-based strategic planning. Additionally, systems will be designed that are user friendly, that maximize utilization of RSPA resources, and that allow linkage to other data bases and interconnectivity among headquarters, regions, pipeline operators, states, and other stakeholders.

ACCOMPLISHMENTS:

RSPA has improved its existing data systems, and has begun to develop new data systems to support pipeline safety activities, including:

- Development of underwater offshore pipeline condition reports by regulated operators.

- Development of an enforcement tracking system and historical data base, and enhancement of a risk-based program for pipeline operator inspection.

- Development of a menus program which allows direct computer access to accident data, annual reports, and safety related condition reports.

- Development of a program to generate and track user fee assessments and collections.

- Development of a program which streamlines the grant allocation process.

PLANNED FOR FY 1994:

In FY 1994, RSPA intends to continue development of a regulatory history system, including data base development and hypertext integration at a funding level of $300K. An audit function will be included in this system to ensure data integrity. RSPA will also continue development of a hazardous liquid pipeline data base and analyses of hazardous liquid data at a cost of approximately $25K. A new universe of pipeline operators, about which little or no data exist, will be regulated when the minimum federal pipeline regulations are extended to cover low stress pipelines and rural gathering lines as a result of passage of the Pipeline Safety Act of 1992 and the Oil Pollution Act of 1990.

CONSEQUENCES OF NOT FUNDING:

The FY 1994 request for information system development is necessary to enable RSPA to cease perpetuating the shortcomings in RSPA's pipeline safety data collection and analysis system. These shortcomings have had an adverse impact on regulatory and compliance initiatives and safety policy, and have set back RSPA's efforts to correct deficiencies in the pipeline safety program.

PROGRAM: RESEARCH AND DEVELOPMENT

RESEARCH STUDIES

ACTIVITY (in thousands): STUDY OF SUPERVISORY CONTROL AND DATA ACQUISITION (SCADA) METHODS

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
50	50	50	0

PROBLEM STATEMENT:

Because of the intrinsic features of pipelines, even with a SCADA system, it can take up to 30 minutes to confirm a leak. This is more than enough time for a leak to find an ignition source and result in an accident, or exacerbate a spill. To meet their safety obligations, it is essential that operators improve detection of leaks in gas and hazardous liquid pipelines so that they can reduce the number of accidents and mitigate the consequences of those that do occur. Current regulations require pipeline operators to check for leaks periodically. However, only by continuous monitoring can operators be sure that pipeline leaks are detected as early as possible.

APPROACH:

RSPA is using contractor support to review SCADA methodology to determine to what extent it should be used by all pipeline operators and what level of compliance would be appropriate.

ACCOMPLISHMENTS:

RSPA's examination of SCADA systems is based on findings from our study, mandated under the Pipeline Safety Reauthorization Act of 1988, of benefits of automatic and remote-controlled valves. These valves maximize the value of SCADA-based leak detection systems by helping to mitigate damages from detected leaks. These are not currently installed as standard design on most pipeline systems because of operator questions about efficacy and reliability.

In FY 1992, we began a study of current SCADA and SCADA-based leak detection systems used to detect leaks in gas and hazardous liquid pipelines. The study used case-studies of a few operators and a survey of existing literature on SCADA and leak detection subsystems. Both manufacturers of these systems and pipeline operators who use the systems were contacted and requested to provide input and data for the study.

Based on the study conducted in FY 1992, we will determine in FY 1993 what features of SCADA systems or SCADA-based leak detection systems are suitable for general application in the gas and hazardous liquid pipeline industry. The work in FY 1993 will also pinpoint areas where further research is needed to minimize leak detection time.

PLANNED FOR FY 1994:

In FY 1994, OPS will identify SCADA-based leak detection systems which can be installed on hazardous liquid pipelines to more quickly identify, size, and locate leaks. OPS will also pursue joint industry and OPS testing to evaluate the sensitivity and reliability of the systems. In addition, OPS will assess the development of computer models of pipeline configurations which simulate pipeline leaks, and the appropriate response to them. Finally, OPS will integrate current operating characteristics and operational data into development of a model to produce an overall assessment of SCADA systems and leak-detection subsystem requirements.

CONSEQUENCES OF NOT FUNDING:

Protection of environmentally sensitive areas is of increasing importance to RSPA, the public and Congress. Pipeline leaks, particularly spills of crude oil and petroleum products, have an severe adverse impact on the environment. The installation of SCADA-based leak detection subsystems will have the most significant impact in reducing these spills. The results from this study will hasten the acceptance of SCADA-based leak detection systems in the pipeline industry. Not funding this effort will delay the RSPA safety and environmental initiative of preventing large pipeline spills.

PROGRAM: RESEARCH AND DEVELOPMENT

RESEARCH STUDIES

ACTIVITY (in thousands): EVALUATE NEW PIPELINE COMPONENT TECHNOLOGY

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
70	75	75	0

PROBLEM STATEMENT:

A critical step in the Risk-Based Planning Process is RSPA's evaluation of pipe and pipeline materials, components, and processes to identify new applications or raise safety concerns. A necessary focus of the pipeline safety program is the performance of materials, components, and manufacturing and testing processes that are designed to keep product in the pipe and detect weaknesses that could result in accidental releases.

APPROACH:

RSPA has an ongoing program of analysis to study and test components using existing technology and those which propose new components or materials recently developed. RSPA technical personnel gather technical information, witness and otherwise participate in technical tests, and conduct on-site evaluations of materials, components, and processes.

ACCOMPLISHMENTS TO DATE:

In FY 1993, we will complete analysis of information on Remote Operated Vehicles (ROV) for underwater inspections of offshore pipelines in shallow waters; evaluate different fracture mechanics models; evaluate technical methodology of different leak detection systems; and evaluate operation and maintenance methodology for hazardous liquid pipeline systems. Additionally, RSPA will complete evaluation of recently developed vapor dispersion and thermal radiation models for LNG facilities and finalize decisions pertaining to possible use in the proposed LNG facility in Alaska. RSPA has been performing metallurgical analyses of failed pipe and pipe components involved in the Tenneco White Bluffs incident and witnessing technical tests to determine whether or not this incident was an isolated event.

PLANNED FOR FY 1994:

RSPA will evaluate third generation internal inspection devices and the tandem use of geographic information systems to determine the consequences of corrosion on the physical environment in proximity to the pipe. RSPA will draw on findings of analyses of risk to environmentally sensitive areas conducted in the review of plans mandated by the Oil Pollution Act and applications of geographic information systems being used as points of reference for assessment of risk to the environment. Additionally, RSPA will begin evaluation of field trials of composite reinforced resin sleeve technology as an alternative to welded steel split sleeves for repair of corrosion damage. Finally, RSPA will study progress in the remote monitoring of the proper operation of check valves.

CONSEQUENCES OF NOT FUNDING:

Without adequate funding in this area, RSPA will not be able to adequately evaluate emerging pipeline technology thereby needlessly impeding necessary technological advances for safer operations, and failing to adequately assess potential safety problems; the consequence being inadequate protection of the public and the environment.

The expected benefits to the pipeline safety program are to assure that the expanding development of pipeline technology is continually being evaluated to ensure that the pipeline safety regulations are up-to-date and will advance the development of such new technology.

PROGRAM: RESEARCH AND DEVELOPMENT

RESEARCH STUDIES

ACTIVITY (in thousands): ONSHORE LIQUID GATHERING LINES SURVEY

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	50	50	0

PROBLEM STATEMENT:

When RSPA revised the definition of a hazardous liquid gathering line in 1986 to mean a pipeline 8 inches or less in nominal diameter that transports petroleum liquids from a production facility, we underestimated the number and miles of lines that were redefined as gathering lines, and as such, consequently were unregulated. Eighty to eighty-five percent of incidents reported to the National Response Center are leaking gathering lines, currently unregulated. Since the condition of these pipelines is largely unknown, RSPA believes that the size and location of these lines along with the composition of the liquids transported should be determined by a survey of the operators.

Additionally, new responsibilities redelegated to RSPA as a result of the Oil Pollution Act require RSPA to address spill prevention from these lines. Finally, the Pipeline Safety Act of 1992 requires RSPA to create a subclass of gathering lines termed "regulated gathering lines" an to determine an appropriated level of regulation to apply to them.

APPROACH:

To gain an understanding of the nature and extent of the problems onshore liquid gathering lines might pose, RSPA plans to use contract support to poll hazardous liquid pipeline operators to determine the number of miles of gathering lines in service and how unregulated gathering lines are being operated and maintained.

ACCOMPLISHMENTS:

In FY 1993, RSPA plans to conduct the first phase of a 2-year survey of these unregulated (i.e., rural) onshore hazardous liquid gathering lines to identify the potential for environmentally damaging releases. The survey includes determining pipeline age, location, composition of liquids transported, and which operation and maintenance standards, if any, are being followed by the operator. In addition, RSPA is seeking information about the condition of the reported lines, as well as pipeline length, diameter, and environmental sensitivity of the pipeline location (primarily, proximity to bodies of water).

PLANNED FOR FY 1994:

RSPA will summarize the data collected from the FY 1993 survey and analyze data gathered. Future proposed actions to reduce spills from these gathering lines will be developed and documented for use by RSPA to enhance environmental protection. RSPA will make research findings available to the hazardous liquid pipeline industry to assist them in reducing the environmental and economic consequences of spills.

CONSEQUENCES OF NOT FUNDING:

Onshore hazardous liquid gathering lines would continue to be operated without a requirement to conform to any safety or environmental standards. The hazardous liquid pipeline spill in the Arthur Kill Waterway in January 1990 which resulted in costs of over $75 million illustrates the consequences of a single pipeline that did not meet established safety or environmental standards.

PROGRAM: RESEARCH AND DEVELOPMENT

RESEARCH STUDIES

ACTIVITY (in thousands): SURVEY OF CAST IRON REPLACEMENT PROGRAMS

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	100	+100

PROBLEM STATEMENT:

There are over 56,000 miles of cast iron pipelines in distribution systems in the country. The vast majority of this pipe was installed more than 50 years ago, and it is not uncommon that in some large urban centers in the east that much of the pipe was installed prior to 1900. Because of its metallurgical properties and corrosion, as cast iron ages it is very susceptible to external loads caused by excavations, traffic, structural congestion - all of which have increased throughout this century. In recognition of the changing environment is which cast iron pipe is operated, some operators have for the last 25 years been replacing cast iron mains and service lines with cathodically-protected steel pipe and plastic pipe. The size of this replacement effort can be seen in the example of New York City's largest distribution operator which has 40% of its system, or 1,685 miles, in cast iron pipe.

Since 1984, there have been 124 incidents involving the failure of cast iron pipe, resulting in 17 deaths. To address this problem, a comprehensive program involving the Office of Pipeline Safety, the gas distribution industry, and state pipeline safety programs which are primarily responsible for intrastate gas distribution systems, is necessary. Congress recognized this issue in the Pipeline Safety Act of 1992, when it mandated that RSPA engage with the industry in efforts to assure that distribution operators with cast iron pipe are aware of existing industry guidelines on cast iron maintenance and replacement. The Act also requires RSPA to conduct a survey of the effectiveness of operator maintenance and replacement programs.

APPROACH:

RSPA will address the Congressional mandate by working with the members of the National Association of Pipeline Safety Representatives (NAPSR) to survey the extent to which operators have established formal cast iron replacement programs and the effectiveness of those programs. RSPA will also evaluate the level of oversight provided by the state programs for cast iron, and obtain from operators data on their cast iron systems that the agency currently does not have (e.g., miles of pipe by age, projected time for replacement, causes of failure).

ACCOMPLISHMENTS:

During 1991 and 1992, RSPA issued two Advisory Bulletins apprising the gas distribution industry of their responsibilities under RSPA's safety regulations concerning the inspection of distribution mains and services. When complied with, these requirements provide the means for an operator to know of current state of its cast iron pipe. In addition, operators where informed of the guidelines for cast iron maintenance and replacement adopted by the Gas Pipeline Technology Committee of the American Gas Association. Finally, as part of its oversight of the performance of the state programs, RSPA has made cast iron oversight an emphasis area for state program inspections for the last two years.

PLANNED FOR FY 1994:

Working with the leadership of NAPSR, RSPA will develop a survey form for dissemination by those state programs that have as their responsibility cast iron distribution systems. For those systems under direct RSPA jurisdiction (e.g., Richmond, VA and Philadelphia, PA), RSPA will conduct the survey. The survey results will form the basis for (1) prioritizing direct involvement with those operators of systems presenting the greatest risk of serious leaks and failures, (2) working with those states which need to improve their oversight of cast iron systems, and (3) identifying both the impediments to cast iron replacement and the successful practices of those operators that have the better replacement programs and disseminating that information throughout the industry and to our state partners.

CONSEQUENCES OF NOT FUNDING:

This request is necessary to enable RSPA and the state programs to have a thorough understanding of the current state of cast iron usage, maintenance, and replacement. In order to meet the expectations of Congress as expressed in the Pipeline Safety Act of 1992, and integrate the effort within the risk-based planning of the Office of Pipeline Safety, RSPA must have sufficient data to plan the necessary future program for cast iron oversight once the survey is complete and we know the status of the problem and the reasonable steps for its resolution.

PROGRAM : RESEARCH AND DEVELOPMENT

RESEARCH STUDIES

ACTIVITY (in thousands): UNDERGROUND STORAGE STUDY

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	125	+125

PROBLEM STATEMENT:

There are currently unresolved safety and jurisdiction questions regarding underground storage caverns and reservoirs. A recent incident near Brenham, Texas, involving an underground storage cavern resulted in three fatalities and 17 injuries requiring medical attention. Industry studies indicate that there are 1,122 underground hazardous liquid facilities in 26 states with a storage capacity of 518 million barrels and 395 natural gas facilities in 27 states with a storage capacity of 7,836 BCF (billion cubic feet). To provide an adequate level of review in order to assess the possible safety and environmental hazards associated with the storage of highly volatile liquids, other hazardous liquids, and natural gas in underground caverns and reservoirs, additional study is required.

APPROACH:

RSPA has identified the following major areas of concern that must be addressed to ensure the public safety and to protect the environment:

- Confirm the location, capacity, and number of underground storage caverns and reservoirs operating in the United States.
- Determine which states have jurisdiction over underground storage caverns and reservoirs and the scope of their jurisdiction and regulations.
- Evaluate the safety devices and their maintenance requirements that underground storage caverns and reservoirs are currently equipped with and formulate criteria to safely operate the cavern and associated pipelines.
- Compare the criteria with the storage caverns and reservoirs currently in operation and determine the potential risk to the public, environment, and property in proximity to the storage

caverns and reservoirs failing to meet the criteria.Using contractor support, OPS staff, and relevant state inspector resources in those states in which underground storage facilities are located, this multi-year initiative is designed to determine where, within OPS's risk-based planning, this issue should fall and what resources and approaches are needed to address it.

Using contractor support, OPS staff, and state inspector personnel in those states in which underground storage facilities are located, this multi-year initiative will determine where, within OPS's risk-based planning, this issue should fall and what resources and approaches are needed to address it.

ACCOMPLISHMENTS:

This is a new initiative for FY 1994. Although RSPA has responded to a limited number of incidents involving the filling or emptying of cavern facilities used by pipelines under its jurisdiction, the experience with underground storage caverns and reservoirs is limited. We have no safety regulations specifically covering underground storage caverns and reservoirs.

PLANNED FOR FY 1994:

RSPA will initiate a multi-year study to evaluate and address the above-stated issues for all underground storage caverns and reservoirs operating in the United States. The approach will be to perform the study in phases as outlined below. The reports generated from this study will be widely distributed throughout the industry and public in order to address the safety and environmental protection issues of storage caverns and reservoirs identified in the study.

Phase I of the study will determine the number and locations of underground storage caverns and reservoirs operating in the United States. A report generated from Phase I will include: names of operating companies, geographical location of the storage caverns and reservoirs, product stored, type of service, and capacity of the caverns.

Phase II of the study will research all available and appropriate resources to determine the safety codes and standards currently governing the operation of underground storage caverns and reservoirs. This phase will also identify the governing entities and their jurisdictional boundaries regarding storage cavern facilities and reservoirs.

Depending on the outcome of Phases I and II, a third phase may be necessary in order to develop the bases for potential solutions to the problems identified in the prior two phases.

CONSEQUENCES OF NOT FUNDING:

Failure to perform the above study will result in RSPA not gaining the information base needed to effectually control the potential hazards of underground storage caverns and reservoirs. In addition to the Brenham, Texas, accident, a cavern failure near Iowa City, Iowa, in 1987 resulted in the release of 5.6 million gallons of a highly volatile liquid which ignited and burned for approximately 3 weeks causing evacuations and damage estimated at approximately $1,500,000. In November 1989 a cavern failure near Jasper, Missouri, resulted in damage estimated at $1,500,000 and caused the evacuation of residents from their homes. Home owners in Conway, Kansas, were forced to sell their properties to pipeline companies due to ground water contamination from failure of the cavern formations to contain the product stored.

The above incidents demonstrate the potential safety and environmental hazards associated with the storage of highly volatile liquids in underground storage caverns and underscores the criticality of the study for public safety.

PROGRAM: RESEARCH AND DEVELOPMENT

COMPLIANCE

ACTIVITY (in thousands): CORROSION PROTECTION TO BREAKOUT TANKS

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	50	+50

PROBLEM STATEMENT:

Due to their intrinsic design, breakout tanks are subject to both internal and external corrosion which can result in leakage from the tanks. There is risk to the public and to the environment from tanks which have been known to leak undetected for years, allowing the hazardous liquid to invade aquifers, contaminate land, and produce vapors that result in public health risks. The recent leak in the terminal tank farm in Fairfax County, Virginia illustrates, through the impact of abandonment of homes, government monitoring, and cleanup, the long term affects that can be caused by neglecting corrosion control.

Breakout tanks are a critical part of most hazardous liquid pipeline systems regulated by RSPA. These tanks are used to relieve surges in a hazardous liquid pipeline or to receive and store hazardous liquids transported by a pipeline for reinjection and continued transportation by pipeline. More than 9,000 breakout tanks exist in pipeline systems throughout the United States. At any given time, these tanks contain millions of gallons of hazardous liquids.

Design of an effective cathodic protection system for a breakout tank is complex because of the configuration of the tank. Also, construction of effective cathodic protection systems under existing tanks is difficult because they must be retrofitted.

RSPA presently requires that operators electrically inspect breakout tanks to determine the need for cathodic protection, and then provide cathodic protection "where necessary." RSPA presently does not specify the technical basis for determining adequate electrical inspection, adequate cathodic protection, when such protection is necessary, or how it should be monitored.

APPROACH:

In April 1991, the American Petroleum Institute (API) published for the first time a recommended practice (API 651) titled CATHODIC

PROTECTION OF ABOVEGROUND PETROLEUM STORAGE TANKS. RSPA will contract to initiate a study to help determine if industry has accepted and is following the recommended practices in API 651.

ACCOMPLISHMENTS:

This new initiative beginning in FY 1994 is part of our continuing effort to improve our knowledge concerning the cathodic protection of breakout tanks and to assure the public safety and environmental protection from possible spills due to external corrosion.

PLANNED FOR FY 1994:

The requested funding would be used to survey industry to examine:

- Techniques for electrical inspection of cathodically unprotected breakout tanks (both full and empty), to locate possible corrosion of the tank bottom.
- Designs for new cathodic protection systems for retrofitted breakout tanks installed as a result of using the electrical inspection techniques recommended in API 651.
- Changes in industry monitoring practices of cathodic protection systems of breakout tanks initiated as a result of API 651.
- Determination of number of existing breakout tanks, installed before the federal pipeline safety rules, electrically surveyed according to the practices in API 651 and determined not to need cathodic protection.

Such factors as tank design, location (environmental sensitivity, population density, climate), and costs to implement protection will be also be addressed.

CONSEQUENCES OF NOT FUNDING:

By delaying pursuit of this initiative, RSPA will be unable to ensure the same level of safety for breakout tanks that exists for other elements of a pipeline system. Several tanks have leaked in recent years, and have resulted in millions of dollars of damage to the environment. For example, a tank farm in Sioux Falls, South Dakota in 1986 released petroleum and the spill contaminated an aquifer and caused abandonment of a house and a school, resulting in damages of over $4 million. In addition, as breakout tanks age, corrosion and resulting spills from these tanks will become more prevalent. RSPA must be prepared to demonstrate to industry the merits of following accepted practice for the cathodic protection of breakout tanks. Without this survey, RSPA will be lacking information necessary for determining possible future inspection, advisory or regulatory initiatives.

PROGRAM: RESEARCH AND DEVELOPMENT

RULEMAKING

ACTIVITY (in thousands): CUSTOMER-OWNED SERVICE LINES

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	125	+125

PROBLEM STATEMENT:

Federal pipeline safety regulations currently do not cover an estimated 12 to 17 percent of service lines in this country that transport natural gas from a main, or common source of supply, to a customer's building. These lines, known as customer-owned service lines ("yard lines"), exist where the customer meter is located at the property line rather than at the customer's building wall. In these instances, many customers are not aware that the distribution operator's responsibility for the safety of the system ends at the meter. Consequently, the customer is left responsible for maintaining that portion of the line beginning at the meter and leading into the building.

Safety issues concerning customer-owned service lines where highlighted after five natural gas accidents in the Kansas City area between 1988-89 which resulted in four fatalities. In three of those accidents, the failures were on customer-owned service lines not protected against corrosion. In the aftermath of the Kansas City accidents, the National Transportation Safety Board issued a recommendation that RSPA should make customer-owned service lines subject to the federal minimum pipeline safety requirements. Over the last 5 years, one-third of all fatalities resulting from pipeline accidents reported to the Department were associated with service lines.

APPROACH:

RSPA will engage a contractor to study the issues involved with customer-owned service lines to gain a better understanding of their number and location and the risk associated with them.

ACCOMPLISHMENTS:

RSPA has conducted a preliminary analysis of the benefits and costs that would be involved in regulating customer-owned service lines. That analysis was based on numerous assumptions, given the absence of hard data on the number, location, and characteristics of customer-owned service lines and their associated leak and accident rates. RSPA has also begun to act in response to provisions of the Pipeline Safety Act of 1992 that establish a comprehensive scheme to be undertaken by RSPA to assure the adequacy of, and enhance where necessary, the level of safety necessary for customer-owned service lines.

PLANNED FOR FY 1994:

Consistent with the mandates of the Pipeline Safety Act of 1992, RSPA's study will entail an in-depth review of local governmental codes and standards in the areas of the country where the customer-owned service lines are located. The study will identify pipe materials used, methods of installation, corrosion protection, as well as costs to conduct periodic inspections and leak surveys and to replace old lines with pipe meeting current regulations. In addition, RSPA will determine the maintenance record of the customer-owned service lines by surveying the local distribution companies supplying gas to those lines and assessing experience of customers who own service lines. RSPA will analyze leak and failure data both from the OPS data base and from records in the areas of the country where customer-owned service lines are located to determine the frequency of leaks, the cause, and remedial action taken to prevent recurrence of the leaks. The leak frequency on customer-owned service lines will be compared with the leak frequency of company-owned service lines.

RSPA, working with our state partners, will determine the effectiveness of the public awareness programs required of distribution companies by interviewing a sampling of both the distribution companies which supply gas to customer-owned service lines and the customers who own them.

CONSEQUENCES OF NOT FUNDING:

Additional information is required on customer-owned service lines to determine the degree of risk they pose and to explore cost-effective measures for ensuring their safe operation and maintenance. If such information is not available for use in assessing this safety problem, any resolution reached will lack a reasonable basis and thus have questionable credibility among the various interests involved.

PROGRAM: RESEARCH AND DEVELOPMENT

MANAGEMENT AND ANALYSIS

ACTIVITY (in thousands): RISK ASSESSMENT

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	0	50	+50

PROBLEM STATEMENT:

The risk to public safety and the environment is not equally distributed over the nation's pipeline system. The many ways that RSPA can influence pipeline safety vary in the degree to which the solutions are effective. In all disciplines, potential actions to reduce risk far exceed an organization's resources. Our choice of where and how to best use appropriated resources must be based on our assessing risks and the potential effects of solutions.

In the past, RSPA's prioritization and use of resources have been dominated by mandates driven by unstructured perceptions. In 1988, the Pipeline Reauthorization Act directed 10 rulemakings and studies, many of which RSPA has been unable to complete due to the lack of a defensible basis on which to pursue the initiative. The Pipeline Safety Act of 1992 directs more than 30 mandates, all of which need to be justified and prioritized on a risk basis. Structured risk assessment is consistent with the direction the pipeline industry and others, including codes and standards organizations, are taking to improve their use of resources.

RSPA must have the technical ability to analyze potential OPS actions in terms of risk reduction so that we can produce a rational, cost-effective national program. Only by using modern analytical tools and the widespread expertise that is available in a carefully designed and consistently applied review process can OPS assure RSPA, the public, industry, and our other stakeholders that we are maximizing the effectiveness of allocated resources. This need was recognized by the Office of Management and Budget in its policy passback on RSPA's FY 1993 budget request.

APPROACH:

In FY 1994, RSPA intends to improve its risk assessment capability, utilizing contract support for data gathering and technical engineering and environmental analyses.

ACCOMPLISHMENTS:

RSPA has made significant progress in the enhancement of existing data systems and development of new data systems to support pipeline safety activities, including:

- Development of a historical data base on accident and operator compliance history and enhancement of a risk-based program for pipeline operator inspection.
- Development of a menus program which allows direct computer access to accident data, annual reports, and safety-related condition reports.
- Development of a risk assessment model for prioritizing initiatives and maximizing the effectiveness of the resources allocated to us.

PLANNED FOR FY 1994:

RSPA will improve its risk-based action plan by enhancing our in-house capability to statistically analyze OPS data banks and perform economic impact estimates. To support this initiative, RSPA will contract analysis of planning functions, assessment of perceptions and external activities related to pipeline safety and environmental protection, and access to external data bases to complement and expand in-house findings.

Contractor planning tasks would include refining the risk based prioritization process. The process involves identifying risks, analyzing actions to mitigate risk (in terms of reduction of the probability and consequence of accidents and the estimated cost to industry and government of implementation), and identifying resources to implement mitigating actions. Support for external assessment would include surveying activities, attitudes, and opinions among parties involved or participating in pipeline safety programs, designing and preparing notices to seek data, and analyzing and synthesizing results.

CONSEQUENCES OF NOT FUNDING:

Reduction or elimination of funding to enhance the risk assessment capability will perpetuate the shortcomings in RSPA's ability to prioritize pipeline regulatory and compliance initiatives. The resulting impact on initiatives and policy will set back RSPA's efforts to correct deficiencies in the effectiveness of the pipeline safety program and diminish its chances of restoring credibility with its stakeholders.

PROGRAM: GRANTS

ACTIVITY (in thousands): NATURAL GAS AND HAZARDOUS LIQUID PIPELINE SAFETY GRANTS-IN-AID

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
7,000	7,000	7,000	0

PROBLEM STATEMENT:

Both the Natural Gas Pipeline Safety Act (NGPSA) and the Hazardous Liquid Pipeline Safety Act (HLPSA) provide authority for reimbursing up to 50 percent of state costs incurred in carrying out their pipeline safety programs. However, since 1981, state requests for funds have exceeded appropriations. In response, RSPA developed methods to allocate the funds available to support state programs. In 1992, the federal contribution amounted to 35 percent of budgeted state costs for the gas program and 28 percent for the liquid program. States are increasingly hard pressed to find funding in their own shrinking budgets to support the shortfall in the federal contribution.

It is in RSPA's best interest to provide sufficient financial incentive to the states, because the states shoulder the majority of the pipeline inspection workload. That workload will increase dramatically with the additional requirements mandated in the Pipeline Safety Act of 1992, including impending regulation of low-stress pipelines, which will result in a 391 percent increase in the number of inspection units for hazardous liquid pipelines for which the states will be substantially responsible. States are closer to the pipeline operators and consumers and have a better understanding of local problems and issues. In return, states deserve to be reimbursed for their efforts as intended by Congress. The resulting federal-state pipeline safety partnership, measured in terms of total resources devoted to pipeline safety, clearly demonstrates the potential cost-benefit advantages of reimbursing states for a substantial portion of the costs of an effective regulatory and compliance program.

APPROACH:

States may qualify for funding in either of the following two ways:

o State Certifications -- States certified under NGPSA or HLPSA assume regulatory and enforcement authority over intrastate gas or intrastate hazardous liquid pipeline facilities. A state must have adopted pipeline regulations at least as stringent as the federal standards and must provide for injunctive and monetary sanctions substantially the same as the federal requirements. In 1992, 49 of the 53 eligible state programs were certified under the gas program. Eleven states were certified under the hazardous liquid program.

- State Agreements -- State agencies which do not satisfy the criteria for certification may enter into an agreement to conduct surveillance of pipeline operators to ascertain compliance with federal safety standards. Any probable violations are reported to the Department for federal enforcement action. In 1992, two states participated under agreements; two additional states, otherwise certified, did not take enforcement actions on a portion of their intrastate operators and conducted their programs under an agreement with respect to those operators.

ACCOMPLISHMENTS:

RSPA, working closely with states, continued efforts to restructure the allocation formula for distributing grants to increase the focus on state performance. A final rule, issued February 23, 1993, phases in a performance-based allocation formula, allowing states adequate lead time to take steps to meet performance criteria and position themselves to be eligible for maximum funding. In CY 1992, 50 percent of grant funds were allocated to states on the basis of program performance, compared to only 25 percent in CY 1991. In CY 1993 and 1994, 75 percent of the funds will be based on performance.

RSPA took a number of steps to stress the need for states to assume safety jurisdiction over all intrastate pipeline facilities as intended by the NGPSA and the HLPSA. In addition to making state jurisdiction a performance factor used in determining eligibility for grant funds, RSPA is also requiring that states serving as federal agents for inspecting interstate pipeline operators must have full intrastate safety jurisdiction by December 31, 1994, to maintain status as interstate agents. A number of states have taken this encouragement seriously. At the end of CY 1991, four states had assumed additional jurisdiction over intrastate pipeline facilities. Although significant progress has been made in increasing state responsibility, over 200 inspection units that should be under state jurisdiction, as well as a large number of master meter systems, remain a federal inspection responsibility. Inability to secure necessary legislative authority has been the major impediment to states assuming jurisdiction over these facilities.

PLANNED FOR FY 1994:

The requested funding for FY 1994 is critical to maintain the current level of state pipeline safety activities. With additional responsibilities on the horizon and the continuing emphasis on program performance, states will be looking for ways to streamline operations and increase their efficiency and effectiveness. Those states lacking jurisdiction over all intrastate operators will be encouraged to seek necessary authority, thereby freeing the Department from having to exercise intrastate compliance responsibility. By encouraging states to carry out inspection and enforcement activities, the grant program fosters the discharge of the responsibilities of federal and state government while reducing the amount of federal dollars required for overseeing a nationwide inspection program. Grant funding provides an effective approach to increase total inspection capability since states provide matching or greater funding.

CONSEQUENCES OF NOT FUNDING:

Continuing funding of state grants is imperative to assure ongoing inspections and enforcement of pipeline safety standards. In 1991, states conducted 98 percent of all inspections of gas pipeline operators (vs 2 percent by OPS) and 70 percent of all inspections of liquid pipeline operators (vs 30 percent by OPS). Closely paralleling these inspection statistics, states initiated 98 percent of all enforcement actions against gas pipeline operators (vs 2 percent by OPS) and 74 percent of all enforcement actions against liquid pipeline operators (vs 26 percent by OPS). A shortfall in federal funding acts as a disincentive for expanded state participation in the pipeline safety program. The situation is exacerbated by an increased workload for the states resulting from additional mandated regulations and, in particular, the regulation of low-stress pipelines and the impact of the drug/alcohol rules. Although RSPA cannot determine with certainty whether or how many states would drop out of the program if the federal contribution were not funded, pipeline safety is vulnerable so long as participating states are not in a position to perform as well as they could.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

[ALASKA PIPELINE TASK FORCE

(OIL SPILL LIABILITY TRUST FUND)]

[For necessary expenses to support a Presidential Task Force audit of the Trans-Alaska Pipeline System, as required by Title VIII of the Oil Pollution Act of 1990, $550,000, to be derived from the Oil Spill Liability Trust Fund, to remain available until expended.] *(Department of Transportation and Related Agencies Appropriations Act, 1993)*.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
ALASKA PIPELINE TASK FORCE

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-8346-0-7-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
	Direct program:			
10.00	Total obligations.................	--	550	0
	Financing:			
40.00	Budget authority (appropriation)...		550	
	Relation of obligations to outlays:			
71.00	Total obligations....................		550	0
72.40	Obligated balance, start of year.....		0	110
74.40	Obligated balance, end of year.......		(110)	0
90.00	Outlays............................	--	440	110

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
ALASKA PIPELINE TASK FORCE

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-8346-0-7-407

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Direct Obligations:			
21.0 Travel and transportation of persons......................		70	
25.1 Consulting services..............		300	
25.2 Other services...................		180	
99.0 Subtotal, direct obligations..		550	
99.9 Total Obligations.............	--	550	--

PROGRAM: ALASKA PIPELINE TASK FORCE

ACTIVITY (in thousands): TASK FORCE ON OVERSIGHT OF THE TRANS ALASKA PIPELINE SYSTEM (TAPS)

FY 1992 Enacted	FY 1993 Enacted	FY 1994 Request	Difference
0	550	0	-550

No funding is requested for this activity in FY 1994. The work of the Task Force will be accomplished with funding received in the FY 1993 appropriation.

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Intragovernmental funds:

Working Capital Fund,

Volpe National Transportation Systems Center

The Working Capital Fund finances multidisciplinary research, evaluation, analytical and related activities undertaken at the Volpe National Transportation Systems Center (VNTSC) in Cambridge, MA. The fund is financed through negotiated agreements with the Office of the Secretary, Departmental operating administrations, and other governmental elements requiring the Center's capabilities. These agreements also define the activities undertaken at VNTSC.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
WORKING CAPITAL FUND, VOLPE NATIONAL TRANSPORTATION SYSTEMS CENTER

PROGRAM AND FINANCING (in thousands of dollars)

Identification code 69-4522-0-4-407

		FY 1992 actual	FY 1993 est.	FY 1994 est.
	Program by activities:			
10.00	Total obligations	214,084	216,000	218,000
	Financing:			
17.00	Recovery of prior year obligations	-1,334		
21.40	Unobligated balance available, start of year	-179,842	-174,213	-158,213
24.40	Unobligated balance available, end of year	174,213	158,213	140,213
68.00	Budget authority (gross): Spending authority from offsetting collections	207,121	200,000	200,000
	Relation of obligations to outlays:			
71.00	Total obligations	214,084	216,000	218,000
72.10	Receivables in excess of obligations, start of year	-120,602	-93,502	-77,502
74.10	Receivables in excess of obligations, end of year	93,502	77,502	59,502
78.00	Adjustments in unexpired accounts	-1,334		
90.00	Outlays (gross)	185,651	200,000	200,000
	Adjustments to budget authority and outlays:			
	Deductions for offsetting collections:			
88.00	Federal Funds	-132,863	-128,296	-128,296
88.30	Trust Funds	-74,096	-71,548	-71,548
88.40	Non-federal sources	-162	-156	-156
88.90	Total, offsetting collections	-207,121	-200,000	-200,000
89.00	Budget authority (net)	0	0	0
90.00	Outlays (net)	-21,470	0	0

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
WORKING CAPITAL FUND, VOLPE NATIONAL TRANSPORTATION SYSTEMS CENTER

OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-4522-0-4-407

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Direct Obligations:			
Personnel Compensation:			
11.1 Full-time permanent	26,446	27,139	28,465
11.3 Other than full-time permanent	2,477	2,563	2,688
11.5 Other Personnel compensation	725	745	781
11.9 Total personnel compensation	29,648	30,446	31,933
12.1 Personnel Benefits: Civilian	5,359	5,503	5,772
21.0 Travel and transportation of persons	2,084	2,680	2,767
22.0 Transportation of things	302	312	322
23.3 Communications, Utilities, and miscellaneous charges	3,382	3,491	3,603
24.0 Printing and reproduction	341	352	363
25.1 Consulting services	1,581	2,000	2,500
25.2 Other services	153,953	155,198	153,824
26.0 Supplies and materials	3,504	3,154	3,256
31.0 Equipment	11,463	11,565	11,672
32.0 Lands and structures	2,467	1,299	1,988
99.9 Total Obligations	214,084	216,000	218,000

PERSONNEL SUMMARY

	FY 1992 actual	FY 1993 est.	FY 1994 est.
Full-time equivalent employment*	597	576	576
Full-time equivalent of overtime and holidays hours	3	3	3

*includes non-ceiling FY 1992-52, FY 1993-52, FY 1994-52

WORKING CAPITAL FUND:

VOLPE NATIONAL TRANSPORTATION SYSTEMS CENTER

MISSION

The John A. Volpe National Transportation Systems Center (Volpe Center) is part of the Research and Special Programs Administration. Projects conducted by the Volpe Center support programs that sponsors feel require the Center's program management, technical and analytical skills. These projects use a combination of in-house, private sector and university resources. The Center works closely with its sponsoring organizations and participates in many of the nation's highest priority projects. Specifically, in response to the needs of the Department and others as approved by the Secretary, the Volpe Center:

- Performs research and development on new intra- and intermodal transportation technologies.
- Serves as an independent and objective resource for the study of critical transportation issues.
- Manages large-scale development programs and provides planning, management, and research assistance for transportation and logistics acquisitions, assuring that all levels of government are "smart buyers."
- Anticipates and creates an awareness of regional, national, and international transportation and logistics issues, trends and choices to support informed decision making.
- Facilitates communication and information exchange among industry; academia; and local, state federal and foreign governments.
- Enhances the development of transportation expertise both within and outside government to enable the nation to better respond to future transportation and logistics requirements.
- Supports strategic planning and policy analysis through balanced cross-modal assessments of the transportation system's future needs, technologies, and operational innovations.

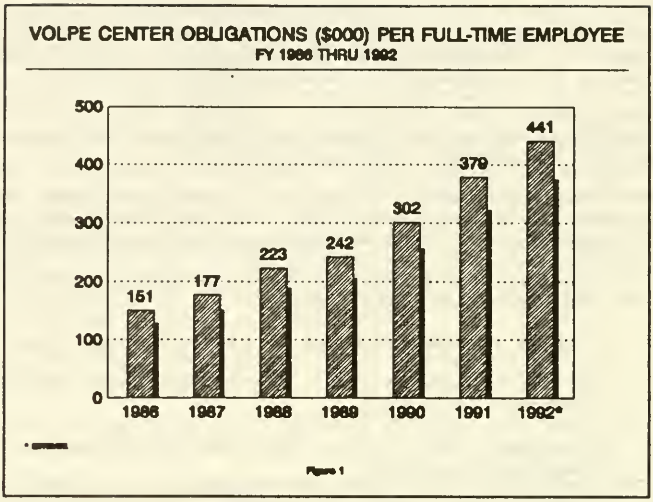
Volpe Center project obligations per full-time-permanent (FTP) employee have grown from $151K in FY 1986 to $441K in FY 1992 (see Figure 1). Major procurement actions per contract specialist grew from 34 to 45 during this same period (see Figure 2). In FY 1992, 85% of the Volpe Center's total obligations are to private sector contractors (see Figure 3), pushing the limits of the GAO guidelines on use of contractors (November 1991 report to the U.S. Senate, "Government Contractors," pg. 22.)

The Center's federal staff is increasingly used for front-end program and project definition and has growing impact on federal transportation initiatives and policy making. Recent examples are:

- Assessment of Advanced Automation System Software Development and Technical Risks (FAA);
- Support to Administrator in planning "FHWA 2000" (FHWA);
- Performing the Railroad Improvement Study for the Northeast Corridor (FTA,FRA);
- Assessment of Alaskan Railroad Environmental Remediation Requirements (FRA);
  Development of Initial Assessment of IVHS benefits and institutional barriers (FHWA);
- "Jump-start" studies of: Intercity Passenger Transportation Alternatives for TRB (FTA), and Automobile Fuel Economy Potential for NAS (NHTSA); and
- Conducting the FY 1992 National Transportation Policy Update Seminars" (OST).

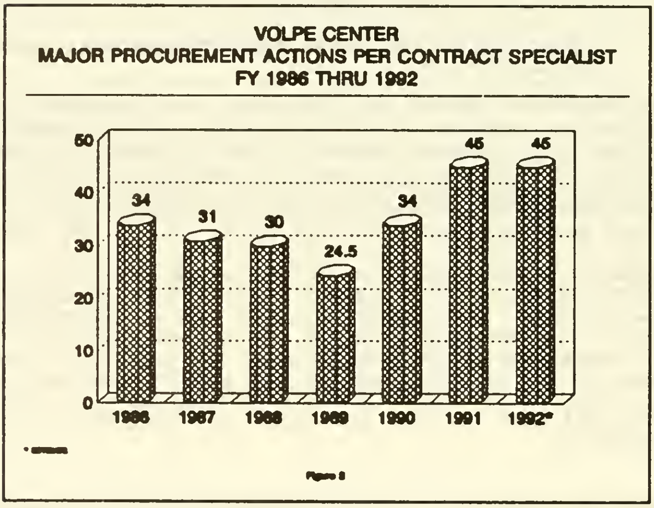
Volpe Center federal employees are also providing leadership in promoting cooperation and information sharing among government, industry, and academic members of the transportation community (see Figure 4). On average, each FTP employee at the Center is now involved in more than three projects over the course of a year, and the ratio of Volpe Center projects to federal technical supervisory staff grew from 7.0 in FY 1986 to 10.7 in FY 1992 (see Figure 5).

Major technical activities at the Volpe Center are undertaken by multi-disciplinary teams of federal and contractor technical specialists. These teams include a mix of analytical, technical, and project management skills, as well as acquisition specialists to manage the procurement process for contractor support. Team composition is determined by the specific skills required, the availability of specialized and federal and contractor labor, and the need that certain activities be undertaken only by federal employees.



VOLPE CENTER OBLIGATIONS ($000) PER FULL-TIME EMPLOYEE
FY 1986 THRU 1992

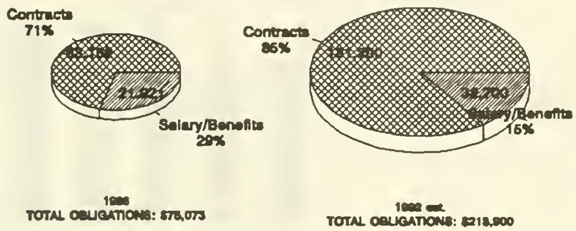
Figure 1



VOLPE CENTER
MAJOR PROCUREMENT ACTIONS PER CONTRACT SPECIALIST
FY 1986 THRU 1992

Figure 2

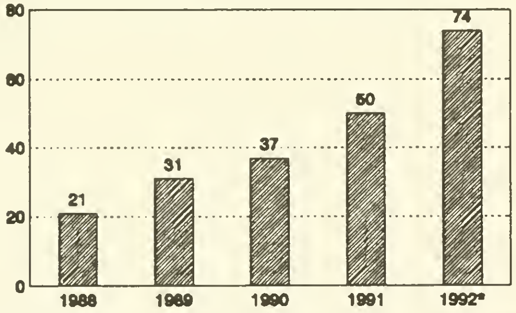
VOLPE CENTER
FEDERAL LABOR vs. CONTRACTS



($ IN MILLIONS)

Figure 3

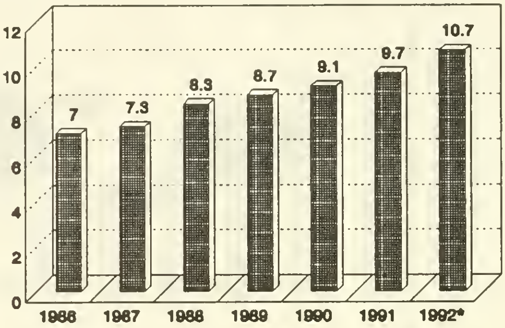
MAJOR TRANSPORTATION AND LOGISTICS CONFERENCES WITH VOLPE CENTER EMPLOYEE CONTRIBUTIONS
FY 1988 THRU 1992



* [illegible]

Figure 4

VOLPE CENTER DIRECT PROJECTS PER TECHNICAL SUPERVISOR
FY 1986 THRU 1992



* estimate

Figure 5

BUDGET ESTIMATES

FISCAL YEAR 1994

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

FY 1994 Budget Estimates

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SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

Federal Funds

Public enterprise funds:

Saint Lawrence Seaway Development Corporation

The Saint Lawrence Seaway Development Corporation is hereby authorized to make such expenditures, within the limits of funds and borrowing authority available to the Corporation, and in accord with law, and to make such contracts and commitments without regard to fiscal year limitations as provided by section 104 of the Government Corporation Control Act, as amended, as may be necessary in carrying out the programs set forth in the Corporation's budget for the current fiscal year. (Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

Identification code 69-4089-0-3-403	1992 actual	1993 estimate	1994 estimate
Program by activities:			
00.01 Operations and maintenance..............	10,950	12,245	11,415
00.02 Replacements and improvements..........	1,273	1,261	1,300
10.00 Total obligations................	12,223	13,506	12,715
Financing:			
17.00 Recovery of prior year obligations......	(257)	...	...
Unobligated balance available, start of year:			
21.47 Authority to borrow....................	(3,200)	(3,200)	(3,200)
21.90 Fund balance...........................	(11,574)	(12,648)	(11,820)
Unobligated balance available, end of year:			
24.47 Authority to borrow....................	3,200	3,200	3,200
24.90 Fund balance...........................	12,648	11,820	11,520
68.00 Budget authority (gross): Spending authority from offsetting collections......................	13,040	12,678	12,415
Relation of obligations to outlays:			
71.00 Total obligations......................	12,223	13,506	12,715
72.10 Receivables in excess of obligations, start of year......................		(282)	(282)
72.90 Obligated balance, start of year: Fund balance.........................	1,349	...	...
74.10 Receivables in excess of obligations, end of year........................	282	282	282
78.00 Adjustments in unexpired accounts (-)...	(257)	...	...
87.00 Outlays (gross)........................	13,597	13,506	12,715
Adjustments to budget authority and outlays: Deductions for offsetting collections:			
88.30 Trust funds............................	(11,382)	(11,178)	(10,915)
88.40 Non-Federal sources....................	(1,658)	(1,500)	(1,500)
88.90 Total offsetting collections.......	(13,040)	(12,678)	(12,415)
90.00 Outlays, net...........................	557	828	300

Note: For FY 1992, actual obligations of the Corporation totaled $11,792 thousand and are estimated to total $13,075 thousand in FY 1993. The amounts for offsetting collections shown above for FY 1992 and FY 1993 have been adjusted to reflect Treasury treatment of transfers from the Operations and Maintenance (O&M) account.

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Program and Performance

The Saint Lawrence Seaway Development Corporation is a wholly-owned Government Corporation responsible for the operation, maintenance and development of the United States portion of the St. Lawrence Seaway between Montreal and Lake Erie. The mission of the Corporation is to provide a safe, efficient, effective water artery for the movement of goods to and from the Great Lakes region of North America and overseas markets. Major priorities are to encourage increased use of the Seaway system and to control Corporation costs.

Appropriations from the Harbor Maintenance Trust Fund and revenues from non-Federal sources are intended to finance the operation and maintenance of the portion of the Seaway for which the Corporation is responsible.

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Revenue and Expense (in thousands of dollars)

Identification code 69-4089-0-3-403	1992 actual	1993 estimate	1994 estimate
0111 Revenues..................................	10,465	11,064	11,115
0112 Expenses..................................	(10,621)	(11,814)	(11,415)
0119 Net loss.............................	(156)	(750)	(300)

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Financial Condition (in thousands of dollars)

	Identification code 69-4089-0-3-403	1991 actual	1992 actual	1993 estimate	1994 estimate
	Assets:				
	Fund balance with Treasury and cash:				
1000	Fund balance with Treasury...........	445	...	...	...
1010	Cash.................................	12,985	11,967	11,267	11,385
1099	Subtotal, fund balance with Treasury and cash............................	13,430	11,967	11,267	11,385
	Accounts receivable:				
1100	Federal Agencies.....................	3,383	2,850	2,500	2,610
1110	Public...............................	739	1,747	1,349	1,490
1199	Subtotal, accounts receivable........	4,122	4,597	3,849	4,100
	Advances and prepayments:				
1200	Federal agencies.....................	...	74	50	63
1210	Public...............................	42	6	2	3
1299	Subtotal, advances and prepayments...	42	80	52	66
	Inventories:				
1300	Operating consumables................	328	330	335	333
	Investments:				
1440	Non-Federal securities, net.......	7	7	7	7
	Property, plant, and equipment:				
1600	Structures and facilities............	136,696	137,076	139,120	139,520
1620	ADP software.........................	...	203	250	247
1630	Equipment............................	7,586	10,523	11,153	11,356
1660	Construction-in-progress.............	2,781	1,031	1,305	1,219
1670	Land.................................	868	868	868	868
1680	Allowances(-)........................	(53,059)	(55,279)	(57,500)	(58,910)
1699	Subtotal, property, plant, and equipment......................	94,872	94,422	95,196	94,300
	Other assets:				
1740	Other................................	628	685	690	667
1999	Total assets......................	113,429	112,088	111,396	110,858

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Financial Condition (in thousands of dollars)
(continued)

Identification code 69-4089-0-3-403	1991 actual	1992 actual	1993 estimate	1994 estimate
Liabilities:				
Accounts payable:				
2000 Federal agencies	1,022	1,304	1,218	1,294
2010 Public	1,942	1,002	1,289	1,286
2099 Subtotal, accounts payable	2,964	2,306	2,507	2,580
2299 Accrued payroll and benefits	168	260	265	256
2399 Accrued annual leave	505	533	545	519
2410 Unearned revenue	...	2	...	...
2999 Total liabilities	3,637	3,101	3,317	3,355
Equity:				
Appropriated fund equity:				
Unexpended financed budget authority (accrual basis):				
3000 Unexpended appropriations	445	...	...	...
3199 Invested capital	109,399	109,195	108,980	108,703
Revolving fund equity:				
3210 Cumulative results	(52)	(208)	(901)	(1,201)
3999 Total equity	109,792	108,987	108,079	107,502

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Object Classification (in thousands of dollars)

Identification code 69-4089-0-3-403		1992 actual	1993 estimate	1994 estimate
	Personnel Compensation:			
11.1	Full-time permanent	5,931	6,101	6,192
11.3	Other than full-time permanent	211	217	219
11.5	Other personnel compensation	355	365	370
11.9	Total personnel compensation	6,497	6,683	6,781
12.1	Civilian personnel benefits	1,714	1,757	1,782
21.0	Travel and transportation of persons	312	325	334
23.3	Communications, utilities, and miscellaneous charges	278	285	293
24.0	Printing and reproduction	61	70	72
25.1	Consulting services	61	100	100
25.2	Other services	1,351	2,367	1,069
26.0	Supplies and materials	918	947	1,216
31.0	Equipment	503	555	325
32.0	Land and structures	528	417	743
99.9	Total obligations	12,223	13,506	12,715

Note: Total obligations shown above on line 99.9 are consistent with the amounts shown on line 10.0 on page 2. For an accurate comparison of total Corporation activity comparable to that shown for FY 1994, $431 thousand should be deducted from lines 25.2 and 99.9 in FY 1992 and in FY 1993.

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Personnel Summary

	1992 actual	1993 estimate	1994 estimate
Total number of full-time permanent positions.	179	177	174
Total compensable work years:			
5001 Full-time equivalent employment.........	172	177	174
5005 Full-time equivalent of overtime and holiday hours.........................	5	6	6

DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Trust Funds

Operations and Maintenance

(Harbor Maintenance Trust Fund)

For necessary expenses for operation and maintenance of those portions of the Saint Lawrence Seaway operated and maintained by the Saint Lawrence Seaway Development Corporation, [$10,825,000] $10,915,000, to be derived from the Harbor Maintenance Trust Fund, pursuant to Public Law 99-662. (Department of Transportation and Related Agencies Appropriations Act, 1993.)

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

Identification code 69-8003-0-7-403	1992 actual	1993 estimate	1994 estimate
Program by activities:			
10.00 Total obligations (object class 25.0)..	10,550	10,825	10,915
Financing:			
40.00 Budget authority (appropriation).......	10,550	10,825	10,915
Relation of obligations to outlays:			
71.00 Total obligations......................	10,550	10,825	10,915
72.40 Obligated balance, start of year........	1,185	353	...
74.40 Obligated balance, end of year..........	(353)	...	...
90.00 Outlays................................	11,382	11,178	10,915

The Water Resources Development Act of 1986 authorizes use of the Harbor Maintenance Trust Fund as the major source of funding for the Corporation's operations and maintenance activities.

Department of Transportation
Saint Lawrence Seaway Development Corporation
Summary of Expenses by Activity (in thousands of dollars)

	1992 actual	1993 estimated	1994 estimated
Operating Expenses:			
1. Locks and marine	$1,913	$1,974	$2,035
2. Maintenance and engineering	3,040	3,145	3,240
3. General and development	2,786	2,875	2,962
4. Administrative	2,780	2,869	2,878
Total recurring operating expenses	10,519	10,864	11,115
5. Non-recurring dredging expense	...	750	...
6. Non-recurring recabling gatelifter	...	200	...
7. Extraordinary concrete repair	...	...	300
Total operating expenses	$10,519	$11,814	$11,415
Replacements and Improvements:			
1. Equipment	$503	$555	$325
2. Capital projects	770	706	975
Total replacements and improvements	$1,273	$1,261	$1,300
Total obligations	$11,792	$13,075	$12,715

	1992	1993	1994
Authorized Positions by Activity:			
1. Locks and marine	57	57	57
2. Maintenance and engineering	67	66	65
3. General and development	16	16	16
4. Administrative	39	38	36
Total positions	179	177	174

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Seaway Tons, Transits, and Tolls
Fiscal Years 1991-1994

	FY 1992 Actual	FY 1993 Forecast	FY 1994 Forecast
Metric Cargo Tons	32,791,783	31,390,000	31,590,000
Vessel Transits	2,642	2,236	2,256
U.S. Toll Revenue	$8,866,000	$9,250,000	$9,480,000

Other Selected Historical Data

Fiscal Year	Metric Cargo Tons	Tons per Loaded Transit	Transits Per Day	U. S. Toll Revenue
1986	35,299,260	15,829	11	$ 8,655,319
1987	40,391,519	16,629	12	9,672,103
1988	41,810,323	17,142	12	10,114,060
1989	39,473,301	17,245	11	9,856,520
1990	35,377,666	17,140	10	8,832,290
1991	35,719,121	17,458	10	9,204,342
1992	32,791,783	17,052	10	8,866,000

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Historical Tons, Transits, and Tolls Statistics
Calendar Years 1959 thru 1992

Calendar Year	Cargo Tons	Total Vessel Transits	U.S. Toll Revenue $	Days of Navigation
1959	18,681,783	7,452	2,942,594	223
1960	18,425,235	6,869	2,931,627	230
1961	21,244,197	6,892	3,308,047	237
1962	23,218,122	6,351	3,646,685	237
1963	28,070,917	6,285	4,385,462	243
1964	35,660,550	6,779	5,534,722	244
1965	39,356,270	7,330	6,324,613	254
1966	44,678,264	7,341	7,056,965	259
1967	39,942,107	6,921	6,034,443	254
1968	43,502,999	6,576	6,719,994	251
1969	37,207,310	6,392	5,793,249	253
1970	46,421,434	6,280	6,867,784	259
1971	48,069,409	6,071	7,390,029	251
1972	48,676,430	5,962	7,360,363	256
1973	52,284,807	6,125	7,531,486	270
1974	40,048,979	4,260	5,756,350	268
1975	43,554,303	4,704	6,099,898	272
1976	49,348,439	4,859	6,969,570	266
1977	57,456,341	5,185	8,307,708	267
1978	56,942,680	5,262	9,631,197	264
1979	55,322,093	4,846	10,401,065	265
1980	49,454,109	4,958	9,395,517	271
1981	50,569,257	4,574	9,979,429	271
1982	42,815,314	4,303	9,645,209	261
1983	45,060,981	3,870	10,867,254	264
1984	47,505,456	3,759	11,968,392	276
1985	37,321,698	3,088	9,006,703	274
1986	37,581,808	3,307	9,152,250	269
1987	39,968,615	3,227	9,529,531	271
1988	40,557,669	3,142	10,049,269	270
1989	37,070,370	2,768	9,225,817	269
1990	36,655,939	2,768	9,240,172	274
1991	34,894,000	2,859	9,157,000	274
1992	31,360,166	2,493	8,713,777	269

Department of Transportation
Saint Lawrence Seaway Development Corporation
Operations and Maintenance
General Justification

Activities financed by this program include functions described below. Corporation objectives are to continue to operate the system in a safe, reliable, and efficient manner while interfacing with a multitude of diverse interests that share the common goal of expanding commerce on the Great Lakes/Seaway System.

Locks and Marine Operations - Lock operations and vessel traffic control on the St. Lawrence Seaway are conducted on a 24-hour day, 7-day week basis throughout the shipping season. Marine operations consist of commissioning and decommissioning of aids to navigation, channel dredging and maintenance, tugboat, and other floating equipment services.

Maintenance and Engineering - The Corporation facilities must be maintained in efficient operating condition. Facilities include locks and guidewalls; roads and bridges; channels; public use facilities; navigation aids; buildings, grounds, and utilities; and permanent operating equipment. Major maintenance on existing facilities will continue to be performed during the non-navigation season.

General and Development - The Corporation engages in activities designed to increase public awareness of the Seaway. This includes costs associated with strategies aimed at identifying new markets for, and increasing use of, the system.

Administrative - Executive management and administration of the Corporation includes legal, civil rights, accounting, procurement, computer, personnel administration, and other related administrative support services.

Replacements and Improvements - Capital expenditures provide for the continuation and improvement of the navigation system and lock operations and the replacement of equipment, machinery, and tools.

Included in the operations and maintenance program are the following:

Concrete Repair: Repair of deteriorated concrete near the bottom of the lock chamber of Eisenhower Lock as identified in the recent Corps of Engineers Structural Evaluation Study Report is scheduled to begin in FY 1994 and would continue for the next two years. To prevent further deterioration of the concrete and thereby reduce the factor of safety against the sliding and overturning of the lock walls, it is essential that the repair be accomplished in the earliest time frame. The Corporation plans to repair the deteriorated concrete with in-house personnel.

Total cost is not expected to exceed $1,000,000 including mobilization and demobilization. The FY 1994 budget estimates include $300,000 for the first year costs to be funded from the Corporation's financial reserve. Follow on costs in FY 1995 and FY 1996 will also be funded from the reserve.

Working Capital Fund: The Working Capital Fund, operated by the Office of the Secretary, provides a variety of services for the Department's operating administrations including printing, communications, building security, security investigations, etc., on a reimbursable basis. The Corporation's estimated cost for FY 1994 is $217,000.

Consultants: As defined in OMB Circular A-120, $100,000 is included in FY 1994 request for consulting services. They would be used to support or improve quality of management and for studies, analyses, and evaluations to improve decision making.

	1993 Enacted	1994 Estimate	Difference
Permanent Positions............	177	174	(3)
Full-time Equivalent Employment....................	177	174	(3)
Operating Expenses............	$11,814,000	$11,415,000	$(399,000)
Replacements and Improvements..	1,261,000	1,300,000	39,000
	$13,075,000	$12,715,000	$(360,000)

Changes in Resources - The Corporation's FY 1994 budget projects expenditures of $12.7 million. This amount includes $11.1 million to fund operating costs, $1.3 million for essential replacements and improvements and $0.3 million to repair deteriorated concrete in the lock chamber of Eisenhower Lock. The FY 1994 program is a $360,000 net decrease compared to FY 1993 and reflects a current services budget. In addition, the FY 1994 budget has been adjusted for a three percent reduction in administrative expenses and for the elimination of two FTE's in FY 1993 and an additional three FTE's in FY 1994. The Corporation proposes to fund the FY 1994 program level from an appropriation request of $10.9 million, from non-federal revenues of $1.5 million, and from Seaway Corporation financial reserves of $0.3 million.

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

FY 1994 CAPITAL PLAN

SUMMARY

Corporation obligations for capital projects and equipment acquisitions in 1994 are projected at $1,300,000. This activity provides for necessary replacements and upgrades to facilities, navigation systems and lock operations, and acquisition of equipment.

CAPITAL EQUIPMENT

1.	Buoys	$ 75,000
2.	Trucks	100,000
3.	Computer Network	50,000
4.	Machine Shop Tools	100,000
	Sub-Total	**$325,000**

CAPITAL PROJECTS

1.	Safety Improvements	$ 20,000
2.	Upgrade Communication/Telephone Equipment	30,000
3.	Electrical System @ Snug Harbor	90,000
4.	Water Treatment Plants	250,000
5.	Fendering System @ Snug Harbor	45,000
6.	New Stiffleg Derrick Buildings	75,000
7.	Electrical Equipment Upgrade	100,000
8.	Paving and Drainage Improvements	200,000
9.	GPS Technology Utilization & Integration	50,000
10.	Remote Weather Stations	85,000
11.	Upgrade Marine Base Office/Shop Facilities	30,000
	Sub-Total	**$975,000**
	Grand Total	**$1,300,000**

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

FY 1994 CAPITAL PLAN

PROJECT DESCRIPTION/JUSTIFICATION

CAPITAL EQUIPMENT

1. Buoys $75,000

Buoys are an integral part of the St. Lawrence River with respect to safe navigation. This request is primarily to replace winter marker buoys that have been damaged beyond repair or have been sunk and are unrecoverable. Lighted buoys are replaced by "winter markers" in late fall since they are designed to withstand the forces of ice formation and break-up in the spring. "Winter markers" placed in critical reaches of the River make it possible for late/early year vessel transits.

This is safety related since navigation aids reduce likelihood of vessel incidents or spills.

2. Trucks $100,000

Pick-up trucks are used extensively for maintaining the locks, facilities and navigation aids spread out over a 100-mile area. This request is to purchase at least six vehicles of various types, i.e., two wheel drive, four wheel drive, utility, 3 passenger, 6 passenger, etc.. Vehicles are replaced strictly in accordance with GSA guidelines with respect to vehicle age and mileage.

3. Computer Network $50,000

This phase of this multi-year project will upgrade key components of the system, acquire back-up servers, and install systems in the converted office space created by building upgrade efforts.

4. Machine Shop Tools $100,000

This is an on-going project aimed at replacing aging high-use shop tools and equipment. This year's request is to replace a milling machine which is undersized for most of the work required.

CAPITAL PROJECTS

1. Safety Improvements $20,000

This is an ongoing safety related project to ensure a safer and healthier work environment in which to work. This year's request is to purchase and install new fume extractor systems in the welding areas, also, a portable extractor system will be purchased and utilized in remote work areas which may be confined and not adequately ventilated.

2. Upgrade Communication/Telephone Equipment $30,000

This is the last year of a multi-year program designed to upgrade/improve communications capability. This year's request will link the previously upgraded sites at Eisenhower Lock, Snell Lock, Marine Base and Administration Building into an integrated communication system.

3. Electrical System @ Snug Harbor $90,000

Snug Harbor is where the Corporation's fleet, including the gatelifter, is docked. The transformer removed from the Marine Base upgrade (due to small capacity) will be reinstalled at this location. New switchgear, disconnects and shore power feeds will be installed and/or added to floating plant other than the gatelifter.

4. Water Treatment Plants $250,000

This is the last year of a program designed to replace and upgrade water plants. The Locks and Maintenance areas are not served by municipal water systems. This requires the Corporation to process its own potable water. In previous years, work concentrated on overall system design and equipment upgrade at Snell Lock. This request is to upgrade the final two sites, Eisenhower Lock, including visitor center areas, and Marine Base.

5. Fendering System @ Snug Harbor $45,000

Snug Harbor is where the majority of floating plant are stored. Fendering systems (wooden timbers and/or rubber fenders) will be redesigned and replaced. This measure is necessary to prevent damage to floating plant tied up to these docks.

6. New Stiffleg Derrick Buildings $75,000

The stiffleg derricks are four stationary machines (two at each lock, one each upstream and downstream) used to install and/or remove the stoplogs. Stoplogs are steel structural units which serve as a dam to allow dewatering of the locks for maintenance work. The four, thirty-year old metal buildings which house the electrical/mechanical components and operating equipment are deteriorated beyond repair. This request is for the purchase and installation of new buildings.

7. Electrical Equipment Upgrade $100,000

This is a continuous program to upgrade electrical/electronic controls for lock consoles, switchgear, recess controls, etc.. Work in these areas will be during the navigation season with procurement in the winter. Electrical upgrade of stiffleg derricks is planned to coincide with building replacement.

8. Paving and Drainage Improvements $200,000

This is an ongoing project to improve the capacity and drainage of paved surfaces. Many of the paved access roads at the locks and other Corporation facilities have heaved, settled and deformed under the loads they have been subjected to. They have been patched and repaired repeatedly such that to improve them will require removal of the pavement, replacement and regrading of the base materials, designing and placing a new asphalt concrete pavement and modifying existing, or installing new, storm drainage systems.

9. GPS Technology Utilization and Integration $50,000

This is an ongoing project aimed at integrating Global Positioning System (GPS) technology with Corporation's vessel position tracking, floating aids positioning, hydrographic sweeping, dredging and surveying applications. This year's efforts will concentrate on acquiring equipment which will assist with surveying and buoy placement with our current equipment.

10. Remote Weather Stations $85,000

Under an interagency agreement in 1991-92, National Data Buoy Center implemented a new weather display system that gives vessel traffic controllers at Eisenhower Lock up-to-the minute weather information for the Great Lakes - St. Lawrence River area. Three remote weather stations were installed at the Thousand Islands Bridge, Alexandria Bay USCG Station, and Fixed Light 165 at Superior Shoal to provide primary data on visibility, air and water temperature, humidity, barometric pressure, and wind speed and direction for these critical areas of the River. Three more stations, namely at Cape Vincent, Bartlett Point and Crystal Shoal are scheduled during this year.

11. Upgrade Marine Base Office/Shop Facilities $30,000

This is a continuation of a multi-year program aimed at upgrading building facilities. This year's work efforts will concentrate on completing Maintenance Building conversion and converting the previous Navigation Aid Building into cold storage for critical lock parts, i.e. tainter valve.

Department of the Treasury

ST. LAWRENCE SEAWAY TOLL REBATE PROGRAM

1789

Justification for Appropriations
Fiscal Year 1994

FINANCIAL MANAGEMENT SERVICE

St Lawrence Seaway Toll Rebate Program

	Direct FTE	Amount ($000's)
FY 1993 APPROPRIATION (P.L. 102-393)	5	$10,250
• FTE REDUCTION UNDER EXECUTIVE ORDER 12839	---	---
REVISED FY 1993 BUDGET	5	10,250
Changes Proposed for FY 1994:		
• PROGRAM CHANGES	---	(568)
• ADJUSTMENTS TO MAINTAIN CURRENT LEVELS	---	25
• REDUCTIONS, NON-RECURRING COSTS, AND SAVINGS	---	---
Total FY 1994 Changes	---	(543)
FY 1994 PRESIDENT'S BUDGET	5	$9,707

Highlights of FY 1994 Budget Changes

	Direct FTE	Amount ($000's)
Program Changes: A decrease is anticipated in the FY 1994 Toll Rebates.	---	(568)
Adjustments to Maintain Current Levels: Funds are requested for inflationary cost increases (0 FTE, $25).	---	25

FINANCIAL MANAGEMENT SERVICE, St. Lawrence Seaway Toll Rebate Program

ANALYSIS OF FISCAL YEAR 1993 AUTHORIZED LEVEL

	Permanent Positions	FTE Positions	Amount ($000)
FY 1993 Appropriation (P.L. 102−388)........	5	5	$10,250
FY 1993 Authorized Level........	5	5	$10,250
FY 1994 Estimate........	5	5	$9,707

DIGEST OF FISCAL YEAR 1994 BUDGET ESTIMATES BY ACTIVITIES
(Dollars in Thousands)

	Actual		Authorized Level		Budget Estimate		Increase (+) or Decrease (−) for FY 1994			
	FY 1992		FY 1993		FY 1994		Total Changes		Program Changes	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
St. Lawrence Seaway Toll Rebate Program........	5	$9,755	5	$12,335	5	$9,707	0	($2,628)	0	($2,628)
Unobligated balance available, SOY.....	--	(2,091)	--	(2,085)	--	--		2,085	--	2,085
Unobligated balance available, EOY.....	--	2,085	--	--	--	--	--	--	--	--
Expired unobligated balance...........	--	--	--	--	--	--	--	--	--	--
Total appropriation, authorized level and budget estimate........	5	9,749	5	10,250	5	9,707	0	(543)	0	(543)
Permanent positions........	5		5		5		0		0	

Financial Management Service, St. Lawrence Seaway Toll Rebate Program

SUMMARY EXPLANATIONS OF FISCAL YEAR 1994 CHANGES REQUESTED
(DOLLARS IN THOUSANDS)

	Perm. Pos.	Total FTE	Amount
Program Changes:			
1. Program Reductions Resulting from Decreases in Toll Rebate Levels	0	0	($568)
Subtotal, Program Changes	0	0	($568)
Other Changes:			
1. Adjustments Necessary to Maintain Current Levels:			
Increased Cost for Administrative Expenses	0	0	$25
Subtotal, Other Changes	0	0	$25
Total Changes	0	0	($543)

SUMMARY JUSTIFICATION OF FY 1994 BUDGET ESTIMATES

General Statement

The Harbor Maintenance Revenue Act of 1986 (P.L. 99-662, November 17, 1986) amended the Internal Revenue code to establish a harbor maintenance tax to be collected by the U.S. Customs Service on cargo imported to or exported from the United States, and established the Harbor Maintenance Trust Fund for deposit of these tax revenues. Section 805 of the Act requires that tolls collected by the St. Lawrence Seaway Development Corporation be transferred to the Harbor Maintenance Trust Fund, but that such tolls be rebated to those who were assessed.

The Act assigned the St. Lawrence Seaway Toll Rebate Program administrative and rebate responsibilities to the Secretary of the Treasury, which have been delegated to FMS. Funding requirements for the St. Lawrence Toll Rebate Program in FY 1994 are estimated to be $9,707,000 including administrative funds of $227,000 and 5 FTE positions.

Administrative responsibilities include the following:

- Promptly authorizing and making rebate payments;
- Maintaining general ledger accounts, recording receipt and disbursement information, and interacting with the St. Lawrence Seaway Development Corporation to resolve data discrepancies;
- Preparing all reports required by law and regulation and in response to ad hoc requests; providing estimates of program activity for budget and finance estimates;
- Managing the investment activity for transferred receipts awaiting disbursement; and
- Maintaining liaison with the St. Lawrence Seaway Development Corporation, Treasury's Office of Tax Analysis and other involved agencies in order to resolve any policy or management issues.

The FY 1994 budget requirement for the St. Lawrence Seaway Toll Rebate Program includes 5 authorized positions, 5 full-time equivalent (FTE) positions, and $9,707 million -- a decrease of $543,000 from the resource levels provided for FY 1993. The St. Lawrence Seaway Toll Rebate Programs' FY 1994 budget request reflects Presidential initiatives to restrain spending wherever possible, utilize available staff to perform required workloads, and fund increases only in the highest priority areas.

The net decrease of $543,000 is comprised of the following changes:

-- $568,000 decrease in Toll Rebates;

-- $25,000 increase in Administrative Expenses;

DEPARTMENT OF THE TREASURY

FINANCIAL MANAGEMENT SERVICE

Federal Funds

General and special funds:

ST. LAWRENCE SEAWAY TOLL REBATE PROGRAM

For rebate of the United States' portion of tolls paid for use of the St. Lawrence Seaway, pursuant to Public Law 99-662, [$10,250,000] $9,707,000, to remain available until expended and to be derived from the Harbor Maintenance Trust Fund, of which not to exceed [$200,000] $227,000 shall be available for expenses of administering the rebates.

FINANCIAL MANAGEMENT SERVICE, St. Lawrence Seaway Toll Rebate Program

EXPLANATION OF FISCAL YEAR 1994 BUDGET INCREASES AND DECREASES

Funding requirements for the St. Lawrence Seaway Toll Rebate Program in FY 1994 are estimated to be $9,707,000 and five FTE positions. This is a decrease of $543,000 from the FY 1993 funding level of $10,250,000.

PROGRAM CHANGES:

Total Requested Program Changes..**($568,000)**

Program Decreases:

The program changes requested for FY 1994 consist of decreases in toll rebates of $568,000. The toll rebate decrease from FY 1993 to FY 1994 reflects the St. Lawrence Seaway Corporation's estimate of tolls to be collected in FY 1994. Toll rebates in FY 1993 include an unobligated carryover from FY 1992 of $2,085,000 and new rebate estimates of $10,050,000.

OTHER CHANGES:

Total Requested Other Changes..**$25,000**

The other changes requested consist of increases in administrative expenses of $25,000, necessary to maintain current levels.

Total Changes..**($543,000)**

FINANCIAL MANAGEMENT SERVICE, St. Lawrence Seaway Toll Rebate Program

Standard Classification Schedule
(Direct Obligations only, $000)

	FY 1992 Actual	FY 1993 Proposed Authorized Level	FY 1994 Appropriation Request	FY 1994 Increase/Decrease from FY 1992
Total number of permanent positions	5	5	5	0
Full Time Equivalent (FTE) workyears	5	5	5	0
Object classification				
Personnel compensation:				
Full-time permanent positions	$129	$156	$158	$2
Other personnel compensation	4	2	2	$0
Total personnel compensation	133	158	160	2
Personnel benefits	23	28	29	1
Travel and transportation of persons	0	0	0	0
Rental payments to GSA	5	2	3	1
Communications, utilities, and miscellaneous charges	3	7	8	1
Printing and reproduction	2	3	3	0
Other services	9,588	12,135	9,502	(2,633)
Supplies and materials	1	2	2	0
Equipment	0	0	0	0
Total Obligations	9,755	12,335	9,707	(2,628)
Unobligated balance SOY	(2,091)	(2,085)		2,085
Unobligated balance EOY	2,085			
Total Appropriation, Authorized Level, and Budget Estimate	9,749	10,250	9,707	(543)

U.S. Architectural and Transportation Barriers Compliance Board

The Access Board

Fiscal Year 1994

Budget Justification

Before the

Committee on Appropriations

Subcommittee on Transportation

United States House of Representatives

April 19, 1993

I am pleased to present the fiscal year 1994 budget request for the Architectural and Transportation Barriers Compliance Board. In presenting this request, I want to emphasize at the outset that this request reflects my personal commitment and the commitment of the Board, as a whole, to the policies and goals supported by this Administration to create an accessible environment which can be used by all people. This request also reflects the President's order to reduce administrative costs by 3% and to freeze Federal salaries with no cost of living increase in fiscal year 1994.

To meet our mandates and responsibilities, we propose addressing four broad initiatives in fiscal year 1994: (1) continued development and refinement of the Americans with Disabilities Act Accessibility Guidelines (ADAAG); (2) technical assistance and training on the Board's accessibility guidelines; (3) research aimed at improving or developing new guidelines in areas identified as needing further study during the ADAAG rulemaking process; and (4) continued efforts in the areas of compliance and enforcement of the Architectural Barriers Act. We propose to carry out these initiatives within a total fiscal year 1994 budget request of $3,348,000 and our current employment ceiling of 36 full-time equivalent positions.

Before reviewing the specific request for fiscal year 1994, I would like to highlight several of the Board's noteworthy accomplishments in fiscal year 1992 and describe areas of emphasis and programs in the current fiscal year.

FISCAL YEAR 1992 ACCOMPLISHMENTS

Guideline Development

Fiscal year 1992 was a very active year for the Board. Board members and staff worked diligently to implement the Board's responsibility to develop accessibility guidelines under the Americans with Disabilities Act (ADA.) We have:

- Completed deliberations on a Notice of Proposed Rulemaking (NPRM) to supplement ADAAG for certain State and local government facilities under Title II of the ADA.

- Acted on the following petitions for rulemaking under the Administrative Procedures Act:

  - A petition from the American Bankers Association and two automated teller machine (ATM) manufacturers requesting that the reach range requirement for accessible ATMs be amended. In May 1992, the Board held a public hearing and solicited comments in a Federal Register notice on the issue. In September 1992, the Board published a notice of proposed rulemaking concerning reach ranges and depths for ATMs. A final rule will be issued in April 1993.

  - A petition from the International Mass Retail Association requesting the Board to suspend ADAAG provisions for detectable warnings on curb ramps and hazardous vehicular areas. The Board voted to propose a suspension of the requirements for detectable warnings until January 1995 and is committed to conducting research on detectable warnings during fiscal year 1993. The Board is planning to publish a notice of proposed rulemaking on the suspension in April 1993.

- A petition submitted to the Secretary of Transportation and the Board by the Metropolitan Transit Authority of New York and seven other transit agencies regarding certain Department of Transportation regulations and ADAAG provisions pertaining to "key stations." The petitioners requested that the ADAAG provisions for detectable warnings and effective communication for persons with hearing impairments in transit facilities be suspended. The portion of the petition regarding effective communication for persons with hearing impairments was denied. The remaining points raised in the petition were addressed by the Department of Transportation.

- A petition from Fair Access, Inc. requesting either a waiver from the 56-inch door height requirement in ADAAG or a rule change. The Board denied the petition without prejudice in view of pending rulemaking by the National Highway Traffic Safety Administration.

Technical Assistance and Training

In our technical assistance and training program we have:

o Responded to over 18,000 telephone requests for technical assistance and distributed approximately 10,500 technical information packages to the public.

o Disseminated over 32,000 copies of ADAAG.

o Finalized technical bulletins on detectable warnings, visual alarms and text telephones.

o Completed nine ADAAG vehicle guideline manuals on the following transportation modalities:

- Bus
- Rapid rail
- Light rail
- Commuter rail
- Intercity rail
- Over-the-road-bus
- High speed rail
- Automated Guideway transit systems
- Trams systems

o Completed a transportation access course with slides and workbooks.

o Completed training videos on ADAAG and the Uniform Federal Accessibility Standards (UFAS).

o Sponsored or participated in 62 training sessions to various organizations on ADAAG including the:

- American Association of Management Executives

- American Bankers Association
- American Institute of Architects
- American Public Transit Association
- Building Owners and Managers Association
- Community Transportation Association of America
- Department of Justice and National Institute of Disability Research Rehabilitation grantees conducting ADA technical assistance projects
- Eastern Paralyzed Veterans Association
- General Accounting Office
- International Congress of Building Code Officials
- International Facility Management Association
- National Conference of States on Building Codes and Standards
- National Easter Seal Society
- National League of Cities
- National Park Service
- Project ACTION
- Southern Building Code Congress International
- University of Maryland
- University of Michigan

o Participated in meetings with representatives of model building code groups, the ANSI Committee, State building code officials, and the Department of Justice on coordinating the development of ADAAG and the ANSI A117.1 standard.

Research

In our research program we:

o Issued a Federal Register notice requesting comments on the Board's 5-year research plan and ADA related research projects.

o Contracted for the following research projects:

- Quiet Areas in Restaurants. This twelve-month project will develop technical assistance materials and recommendations for technical provisions for environmental characteristics of quiet areas in restaurants and cafeterias for persons with hearing impairments.

- Assembly Area Accessibility. This twelve-month project will provide technical assistance materials and develop recommendations for both technical and scoping provisions for assembly area accessibility. The study will consider current standards or guidelines for assembly area accessibility, new technology, post-occupancy evaluations of accessibility at facilities designed under UFAS, and user group input focusing on the needs of people with disabilities.

- Automated Doors. This twelve-month project will develop specific recommendations for the development of scoping and technical requirements for automated doors to be included in ADAAG.

- Communications in Transportation Facilities for Persons with Hearing Impairments and Persons with Vision Impairments. This project will examine the communications needs of persons who have hearing impairments and persons who have visual impairments with respect to transportation facilities. The project will research, analyze, and report on state-of-the-art and on-the-horizon programs, products, systems and technologies that address those communications needs. It will identify and recommend areas and directions of future research and product development, and develop resource materials to assist transit facility planners, designers and operators in implementing communications accessibility for these persons.

- Regulatory Impact Analysis for State and Local Government Facilities Accessibility Guidelines. As a part of the requirements for a major rulemaking, the Board has worked with a contractor to produce a cost-benefit analysis of the proposed accessibility guidelines for State and local government facilities. The analysis will be updated before the publication of the final rule.

Architectural Barriers Act Compliance and Enforcement

In carrying out our compliance and enforcement program mandate under the Architectural Barriers Act, the Board:

o Closed 153 Architectural Barriers Act complaints. Over half of these cases (53%) were closed with the entity taking corrective action. The Board opened over 145 new cases during fiscal year 1992.

o Initiated a proposed citation against the Washington Metropolitan Area Transit Authority (WMATA) regarding a nonconforming ramp at the west entrance to the Twinbrook Metrorail Station, with WMATA's Board of Directors agreeing to take necessary corrective action.

FISCAL YEAR 1993 MAJOR ACTIVITIES

In fiscal year 1993, the Board's major projects and priorities are as follows:

Guideline Development

The Board has both completed and initiated additional ADAAG rulemaking as follows:

o Published a notice of proposed rulemaking (NPRM) to supplement ADAAG for certain State and local government facilities on December 21, 1992. The comment period was for 90 days, closing on March 22, 1993. During that period, the Board held five public hearings on the NPRM in the following locations: Charlotte, North Carolina; Denver Colorado, St. Louis, Missouri; Washington, DC; and San Francisco, California. Approximately 500 people attended the hearings. The Board expects to issue final guidelines in the final quarter of fiscal year 1993.

o Initiated rulemaking for access to recreational facilities and outdoor developed areas. On February 3, 1993, the Board published a notice of intent to form an advisory committee to assist the Board in developing accessibility guidelines for recreational facilities and outdoor developed areas. The Board anticipates the first meeting of the committee will be in the summer of 1993.

o Initiated rulemaking to supplement ADAAG for children's environments. On February 3, 1993, the Board published an advance notice of proposed rulemaking (ANPRM) seeking studies, data and information on existing standards or accessibility guidelines for children's environments. The Board plans to publish a notice of proposed rulemaking on children's environments during fiscal year 1994.

o Over-the-Road Buses. The ADA required that Congress' Office of Technology Assessment (OTA) complete a study of the feasibility and costs of making over-the-road buses accessible. The ADA mandated the Board to comment on the draft study, which we have done, and that OTA finalize the study by July 1993. The Board and the Department of Transportation are required to complete accessibility guidelines and regulations on over-the-road buses by July 1994. The Board will begin writing the guidelines in July 1993 with the goal of publishing a NPRM in January 1994. We anticipate doing a joint rulemaking effort with the Department of Transportation so a final rule can be issued by July 1994.

Technical Assistance and Training

In providing technical assistance to entities covered by the ADA, we plan to:

o Complete the initial distribution of ADAAG Checklist Manuals. The checklist is intended to assist in surveying buildings and facilities for compliance with ADAAG. As of March 1993, we have sold 3,500 copies of the checklist. With those sales alone, totalling $8,500, we are able to reprint 3,400 copies of the checklist.

o Continue distribution of ADA technical assistance manuals by taking advantage of our authority to sell publications.

o Develop and distribute additional technical assistance bulletins on such issues as using ADAAG, entrances, dressing rooms and fitting rooms, and accessible parking.

o Continue to provide training sessions specifically on ADAAG. We plan to coordinate with trade associations to reach individuals in the design and building code enforcement industries. As of March 1993, we have provided training to the following organizations:

- ADA Dallas Conference
- ADA Leadership Conference for County Officials
- American Society of Civil Engineers
- Department of Defense facilities staff at the Pentagon
- Federal selective placement officers, equal employment opportunity officials, and facility managers

- Department of Transportation Paratransit Workshop for transit operators
- Georgetown University Law Center
- Institutional and Municipal Parking Congress
- Local Board of Trade, Hollywood, FL
- Los Angeles County Transportation Commission
- Management Strategy Seminar for Facility Managers of Fortune 500 Companies
- Maryland Department of Housing and Community Development
- Marymount University
- Mayer, Platt and Brown sponsored ADA seminar, Chicago, IL
- Minnesota Public Transit Association Conference
- National Association of Vertical Transportation Professionals
- National Forum on Golf Access
- National Institute on Disability and Rehabilitation Research for the Disability and Business Technical Assistance Centers
- National Parks and Recreation Association
- National Sheriff's Association
- Paralyzed Veterans of America Advocacy and Legislation seminar
- Parsons De Leuw, Inc.
- Pennsylvania Office of Vocational Rehabilitation
- President's Committee on Employment of People With Disabilities
- Service Authority for Freeway Emergencies, San Diego, CA
- Transportation Research Board, Tampa, FL
- Transportation Research Board, Washington, DC
- Trophy Dealers and Manufacturers Association, Las Vegas, NV
- University of Maryland, School of Architecture

o Provide specialized technical assistance by responding to individual requests and questions over the telephones and through correspondence. During the first five months of fiscal year 1993, the Board responded to 7,410 telephone and 216 written requests for technical assistance. In addition, 4,691 technical information packages and 7,145 copies of ADAAG were mailed out.

In order to improve its capability to respond to public demand for technical assistance over the telephone, the Board completed a comprehensive study of its telephone communications. We are now in the process of upgrading our current telephone system by adding additional toll free lines, computer hardware and software which will allow the queuing of calls, on line management reports to allow us to respond to a heavy phone demand, and new TDD equipment to better respond to calls from persons who are deaf, or speech or hearing impaired. We have also added facsimile equipment connected to our computer system so accessibility specialists can fax a document to a caller as they speak on the telephone.

o Increase our efforts to reach and educate additional people and institutions covered by the ADA. A Director of Communications will be added to the staff without an increase in FTE. The incumbent's primary responsibility will be to establish and implement an aggressive program to better inform the public about the requirements for and advantages of accessibility.

Research

From the results of the public's comments on the Board's proposed research agenda and the need for data to develop additional accessibility guidelines, the following research projects are being initiated in fiscal year 1993:

- Detectable Warnings. This project will research several issues related to detectable warning surfaces. The project will begin with an extensive international literature review to identify research that has already been conducted regarding detectable warning surfaces. Secondly, it will examine whether there is a need for detectable warning surfaces. If detectable warnings are needed, the research will examine where they are needed and the technical specifications for the warnings.

- Ramp Slope and Landings. This twelve-month project will research and make recommendations regarding ramp slope and landing requirements for new construction and alterations. The project will study the adequacy of the 1:12 maximum slope and 30 foot maximum length for today's population of individuals with mobility impairments. The research project will evaluate existing research and conduct human subject testing focused on individuals with mobility impairments that have not been the subject of previous study.

- Regulatory Impact Analysis. The regulatory impact analysis will be a limited project to provide data for a cost benefit analysis of the proposed guidelines for recreation facilities and outdoor developed areas.

Architectural Barriers Act Compliance and Enforcement

During the fiscal year, the Board will:

- Continue to carry out its responsibilities under the Architectural Barriers Act. Since October 1, 1992, the Board has opened 46 new complaints alleging inaccessibility of federally-funded facilities. These bring our outstanding caseload, as of mid-March 1993, to 129 *(see attached chart)*. Of the 55 cases closed so far this fiscal year, 69 percent have been closed because the barriers were removed. Based on experience, the Board anticipates that it will open about 150 new cases during fiscal year 1993.

FISCAL YEAR 1994 MAJOR ACTIVITIES

Guideline Development

During fiscal year 1994, the Board is planning additional work on ADAAG as follows:

- Recreational Facilities and Outdoor Developed Areas. In the first half of the fiscal year, the recreation advisory group will continue to meet with the goal of submitting a final report to the Board in late spring 1994. In the final half of the fiscal year, the staff and a working group of the Board will produce a draft NPRM. We plan to publish the NPRM in fiscal year 1995.

- Children's Environments. Based on the Board's 1990 research project and any information received through our ANPRM, the Board staff will begin drafting accessibility guidelines for children's environments in fiscal year 1994. It is the Board's goal to publish a NPRM the summer of 1994 and a final rule in the spring of 1995.

- Federal Facilities. The Board intends to initiate rulemaking expeditiously after the ADAAG revisions for State and local government facilities are final to include additional sections to cover certain Federal facilities not addressed by the guidelines. Pursuant to its authority under section 502 of the Rehabilitation Act, the Board intends to adopt the revised ADAAG as the minimum guidelines and requirements for standards (The Uniform Federal Accessibility Standards) issued by the four Federal standard setting agencies under the Architectural Barriers Act. As a result of these varied actions private entities, State and local governments entities, and the Federal government will all be required to comply with ADAAG in the design, construction and alteration of buildings. There will be one accessibility standard covering most buildings in the United States. We are currently working with the Departments of Justice and Defense, Housing and Urban Development, the General Services Administration and the U.S. Postal Service to identify the major issues for the Federal Guidelines. We plan to issue a NPRM in fiscal year 1994 with a final regulation published in the first quarter of fiscal year 1995.

- Water Transportation. The Board must also develop accessibility guidelines for boats, docks, and other forms of water transportation. We will work with the Department of Transportation to begin examination of the major issues in fiscal year 1994. Publication of a NPRM is not planned until fiscal year 1995.

The major costs of rulemaking are salaries and travel for Board members to attend bi-monthly meetings, publishing the rules in the Federal Register, reprinting and mailing the proposed and final rules, and preparing and shipping braille and cassette copies of the rules. These specific costs are detailed in the enclosed object class budget.

Technical Assistance and Training

We expect the demand for technical assistance to increase in fiscal year 1994. Our experience (see Figure 1) with ADAAG indicates that we will have a heavy demand for technical assistance on the new accessibility guidelines for State and local government facilities as soon as they are published in final. Additionally, there will be requirements for types of facilities such as jails, courtrooms, and public rights-of-way, which have never been covered by accessibility standards. It also appears that requests for assistance on the existing guidelines have reached a steady state, and will not decrease in fiscal year 1994. The Board plans to meet this increased demand with the use of our new phone system, by revising current publications, distributing additional technical assistance bulletins, and by developing new bulletins as the need arises. To the extent possible based on available funding, the videotapes, slide shows and other training materials will be updated to cover new guidelines as they are issued.

The direct costs associated with technical assistance and training are travel, printing of publications, telephone operations, and postage. These costs have been built into our fiscal year 1994 budget request. The Board, once again, plans to make maximum use of the authority to sell publications.

Our training program will continue to follow the training policy adopted in January 1992. It will take maximum advantage of the legislation authorizing acceptance of fees for training, and emphasize a train-the-trainer approach to make the most efficient use of staff time and travel. Based on our experience in fiscal years 1992 and 1993, we expect to conduct approximately 60 training sessions. We also expect that we will be reimbursed for our costs for about 50 percent of the training sessions. We expect the $19,000 in our proposed fiscal year 1994 budget will meet our travel needs.

Research

In fiscal year 1994, the Board is requesting $400,000 for research and plans to initiate the following projects:

- Space and Reach Range Requirements for Persons Using Power Wheelchairs and Three-Wheeled Scooters and Interior Circulation in Transportation Vehicles. This project will make recommendations for technical specifications for reach ranges, clear floor space, and turning and maneuvering spaces for persons using power wheelchairs and three-wheeled scooters. The project will also study whether additional specifications for interior circulation in transportation vehicles are needed. Specifically, it will address space limitations at fare boxes in buses and light rail vehicles, and whether fare boxes in such vehicles could be made smaller or placed differently.

- Public Information for Persons with Cognitive Disabilities. This project will produce technical assistance materials about providing public information and wayfinding information for persons with cognitive disabilities in buildings, transportation facilities and outside areas. The study will examine the symbols and signage that can be used to meet the needs of that population.

Architectural Barriers Act Compliance and Enforcement

Based on recent experience, we project that we will open about 150 new Architectural Barriers Act complaints during fiscal year 1994 and close a majority of our outstanding cases because corrective action will have been taken to remove barriers. We do not plan any increases in staff or other resources devoted to this activity.

Administration

We do not plan any growth or major changes in the administration and management of the Board in fiscal year 1994. We will reduce our administrative costs by 3 percent of our fiscal year 1993 baseline by reducing administrative contracts by $5,000; equipment purchases by $15,000; and the cost of Board meetings by $13,000.

CONCLUSION

To enable us to meet our fiscal year 1994 program goals, the Board is requesting a total of $3,348,000. Of that amount, $2,084,000 is targeted for personnel expenses; $400,000 for research and technical assistance contracts; $165,000 for Board and staff travel; $248,000 for office rent; $124,000 for printing; and $327,000 for all other administrative expenses including telecommunications, postage, support services contracts, administrative services contracts, supplies and equipment. An object class breakdown of our fiscal year 1994 request is enclosed.

We have made every attempt to deploy resources as effectively as possible and to reduce expenditures through increased efficiency of operations. We can assure you that the Board's system of internal controls are in place and working.

The Board continues to have the formidable and crucial task of implementing our responsibilities under the landmark Americans with Disabilities Act. These important tasks entail informing people with disabilities of their rights, and informing entities covered by the Act of their responsibilities. This will require years of continual effort by Federal agencies in partnership with public and private entities. With funding in the full amount of our request for fiscal year 1994, we believe we can continue to meet this challenge.

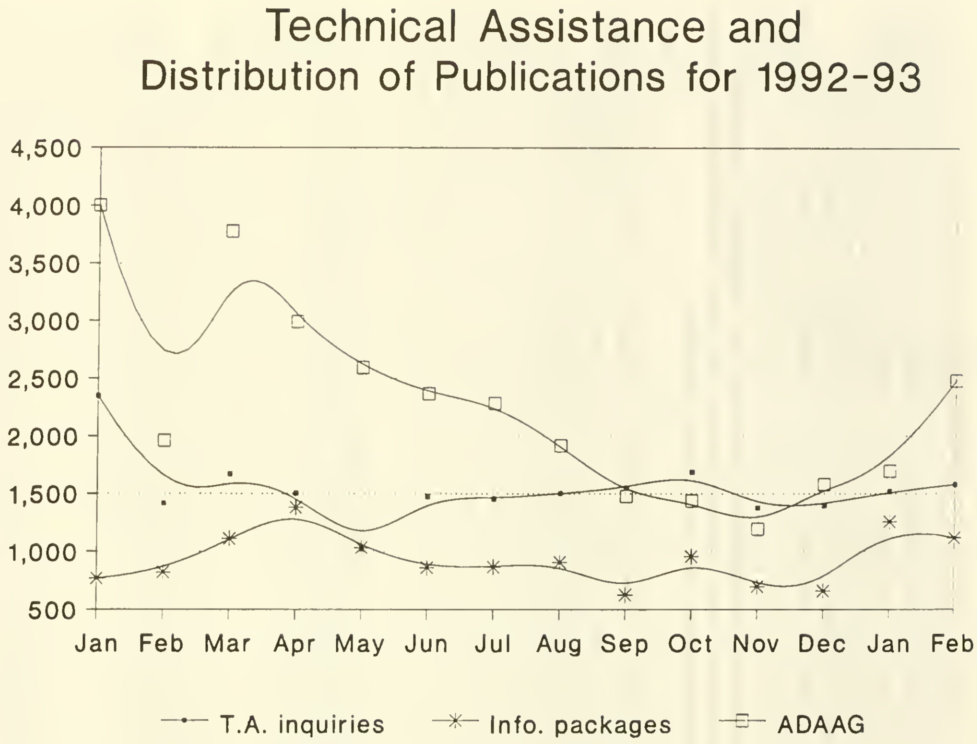
Technical Assistance and
Distribution of Publications for 1992-93
4,500
4,000
3,500
3,000
2,500
2,000
1,500
1,000
500
Jan
Feb
Mar
Apr
May
Jun
Jul
Aug
Sep
Oct
Nov
Dec
Jan
Feb
T.A. inquiries
Info. packages
ADAAG

Figure 1

STATUS OF COMPLAINTS BY FISCAL YEAR RECEIVED
(FY 1977 - FY 1993)

REPORT DATE: March 17, 1993

FY	COMPLAINTS RECEIVED		UNDER INVESTI-GATION	MONITORING CORRECTIVE ACTION	INTENT TO CLOSE LETTER SENT	COMPLAINTS CLOSED					TOTAL CLOSED BY FY CLOSED
								CLOSED FOR:			
	TOTAL	% CHANGE FROM PREVIOUS FY				TOTAL	% TOTAL RECEIVED	CORRECTIVE ACTION	NO JURIS-DICTION	NO VIOLATION	
1977	100		0	0	0	100	100.%	50	44	6	49
1978	155	55.%	0	0	0	155	100.%	60	83	12	141
1979	176	13.5%	0	0	0	176	100.%	92	78	6	175
1980	160	-9.1%	0	0	0	160	100.%	63	86	11	137
1981	106	-33.8%	0	0	0	106	100.%	39	62	5	96
1982	119	12.3%	0	0	0	119	100.%	58	52	9	73
1983	129	8.4%	0	0	0	129	100.%	60	55	14	123
1984	233	80.6%	0	2	0	231	99.1%	86	135	10	96
1985	249	6.9%	0	0	0	249	100.%	84	148	17	236
1986	91	-63.5%	0	1	0	90	98.9%	35	49	6	101
1987	217	138.5%	2	1	0	214	98.6%	109	86	19	102
1988	200	-7.8%	0	2	0	198	99.%	63	112	22	266
1989	176	-12.%	3	5	0	168	95.5%	68	92	8	317
1990	204	15.9%	4	12	0	188	92.2%	83	94	11	210
1991	153	-25.%	8	4	0	141	92.2%	52	76	13	200
1992	145	-5.2%	33	13	3	96	66.2%	47	43	6	153
1993	46		24	6	6	10	21.7%	5	5	0	55
TOTAL	2659		74	46	9	2530	95.1%	1054 (41.7%)	1300 (51.4%)	175 (6.9%)	

BUDGET COMPARISON - FY 1993 AND FY 1994

CODE	DESCRIPTION	FY 1993 OPERATING PLAN $3.3 M	FY 1994 REQUEST $3.348 M	% CHANGE
11.1	FULL-TIME PERM (FTP)	1,393,000.00	1,535,000.00	10.19%
11.3	OTHER THAN FTP	227,600.00	167,400.00	-26.45%
	--TEMPORARY FULL-TIME	39,000.00	0.00	-100.00%
	--PART-TIME	67,000.00	45,800.00	-31.64%
	--BOARD MEMBERS	121,600.00	121,600.00	0.00%
11.5	OTHER PERSONNEL SERVICES	32,000.00	33,000.00	3.13%
	--OVERTIME	5,000.00	5,000.00	0.00%
	--EMPLOYEE AWARDS	27,000.00	28,000.00	3.70%
11.8	SPECIAL PERSONNEL SERVICES	0.00	0.00	0.00
TOTAL PERSONNEL COMPENSATION		1,652,600.00	1,735,400.00	5.01%
12.1	PERSONNEL BENEFITS	329,100.00	348,600.00	5.93%
TOTAL	PERSONNEL COMPENSATION	1,981,700.00	2,084,000.00	5.16%
21.0	TRAVEL	150,000.00	165,000.00	10.00%
	--BOARD MEMBER & ATTENDANTS	135,000.00	146,000.00	8.15%
	--BOARD STAFF	15,000.00	19,000.00	26.67%
23.1	RENT (OFFICE SPACE)	220,000.00	248,000.00	12.73%
23.2	OTHER RENTALS	123,000.00	122,000.00	-0.81%
	23.22 COURIER SERVICE	2,500.00	1,500.00	-40.00%
	23.24 POSTAGE METERS	1,500.00	1,500.00	0.00%
	23.25 POSTAGE	60,000.00	60,000.00	0.00%
	23.28 PHONES	59,000.00	59,000.00	0.00%
	FTS	46,000.00	44,000.00	-4.35%
	GSA - Lines	8,000.00	10,000.00	25.00%
	C&P Local	3,000.00	4,000.00	33.33%
	Credit Card	1,000.00	0.00	-100.00%
	Phone Maintenance	1,000.00	1,000.00	0.00%
24.	PRINTING	108,000.00	124,000.00	14.81%
	Federal Register	30,000.00	50,000.00	66.67%
	Code of Federal Regs.	12,000.00	12,000.00	0.00%
	Newsletter/Press Releases	6,000.00	6,000.00	0.00%
	Publications	60,000.00	56,000.00	-6.67%
25.0	CONTRACTS, GRAND TOTAL	613,300.00	561,000.00	-8.53%
	RESEARCH & TECHNICAL ASSISTANCE	400,000.00	400,000.00	0.00%
	ADMINISTRATIVE	213,300.00	161,000.00	-24.52%
	--OTHER REIMBURSEMENTS (TOTAL)	58,000.00	61,000.00	5.17%
	Dept. of Education	10,000.00	13,000.00	30.00%
	General Services Administration	48,000.00	48,000.00	0.00%
	--25.9D STAFF TRAINING	6,000.00	6,000.00	0.00%
	--MAILING SERVICES	25,000.00	25,000.00	0.00%
	--COURT REPORTER	20,000.00	12,000.00	-40.00%
	--INTERPRETER FOR DEAF	20,000.00	12,000.00	-40.00%
	--COURIER, GSA	3,000.00	2,000.00	-33.33%
	--BRAILLER MAINTENANCE	1,000.00	1,000.00	0.00%
	--COMPUTERIZED LEGAL RESEARCH	2,000.00	2,000.00	0.00%
	--IBM COPIER MAINTENANCE	4,000.00	7,000.00	75.00%
	--COMPUTER MAINTENANCE	2,000.00	3,000.00	50.00%
	--DRUG TESTING	1,300.00	1,000.00	-23.08%
	--MISCELLANEOUS (Space Adjustments)	30,000.00	2,000.00	-93.33%
	--BRAILLE/CASSETTE PRODUCTION	35,000.00	23,000.00	-34.29%
	--AUDITS	6,000.00	4,000.00	-33.33%
26.0	SUPPLIES	34,000.00	29,000.00	-14.71%
	--Books	9,000.00	7,000.00	-22.22%
	--Office Supplies	25,000.00	22,000.00	-12.00%
	--Board Meeting Space & Equip	0.00	0.00	0.00%
	--Operating Supplies	25,000.00	22,000.00	-12.00%
31.0	EQUIPMENT	70,000.00	15,000.00	-78.57%
GRAND TOTAL - PERSONNEL		1,981,700.00	2,084,000.00	5.16%
GRAND TOTAL - NONPERSONNEL		1,318,300.00	1,264,000.00	-4.12%
ATBCB BUDGET GRAND TOTAL		3,300,000.00	3,348,000.00	1.45%

Interstate Commerce Commission
Washington, D.C. 20423

OFFICE OF THE CHAIRMAN

March 23, 1993

Honorable William H. Natcher
Chairman
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

The FY 1994 budget estimates for the Interstate Commerce Commission under current legislation are enclosed.

In the Department of Transportation and Related Agencies Appropriations Act for FY 1994, the Commission, with the concurrence of the Office of Management and Budget, is proposing the reauthorization of statutory authority provided in the FY 1993 appropriations act that user fees collected pursuant to 31 U.S.C. 9701 be made available to the Commission to offset its FY 1994 appropriation request.

The Commission estimates that non-Federal user fee collections will amount to $7.3 million in FY 1994, based on the actual user fee collections for FY 1992. The Commission's FY 1994 total budget estimate, under current legislation, totals $52.766 million and provides for 620 staff-years; the $7.3 million of offsetting collections will reduce the budget estimate to an appropriation request of $45.466 million.

In response to OMB Bulletin No. 93-09, Deficit Control and Productivity Improvement in the Administration of the Federal Government, the Commission provides the enclosed summary table presenting the agency's administrative expense base and the reduction amounts for Fiscal Years 1994-1998.

The Commission is sending an identical letter to Senate Appropriations Committee Chairman Byrd.

Sincerely,

Gail McDonald
Gail C. McDonald
Chairman

Enclosures

cc: Chairman Bob Carr

Enclosure

SUPPORTING INFORMATION FOR
ADMINISTRATIVE EXPENSE BASE AND REDUCTION REQUIREMENTS
FY 1994 - FY 1998
($000's)

	FY 1994		FY 1995		FY 1996		FY 1997		FY 1998	
Previous Year		$6,825		$6,801		$6,559		$6,094		$5,407
Inflation	2.7%	185	2.6%	177	2.5%	164	2.5%	152	2.5%	135
Base		$7,010		$6,978		$6,723		$6,246		$5,542
Reduction	3.0%	$209	3.0%	$419	3.0%	$629	3.0%	$839	2.0%	$979
Net		$6,801		$6,559		$6,094		$5,407		$4,563

Note: The administrative expense overhead is defined as expenditures for contractual services and supplies (object class 20 series), and includes travel and transportation of persons; rental payments to others; communications, utilities, and miscellaneous charges; printing and reproduction; consulting services; other services; and supplies and materials. (Rental payments to GSA are not subject to the reduction.) The reductions are calculated from the FY 1993 budget baseline ($6,825,000) and are adjusted for inflationary increases each year and are reduced by the following cumulative percentages: 3 percent in FY 1994, 6 percent in FY 1995, 9 percent in FY 1996, and 14 percent in FY 1997 and FY 1998. The total budgetary savings for FY 1994 through FY 1998 is $3,075,000.

Interstate Commerce Commission

1887

Budget Estimates

Fiscal Year 1994

INTERSTATE COMMERCE COMMISSION

FISCAL YEAR 1994 BUDGET ESTIMATES

Salaries and Expenses

Payments for Directed Rail Service

Submitted to Congress -- March 1993

INTERSTATE COMMERCE COMMISSION

FISCAL YEAR 1994 BUDGET ESTIMATES

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SUMMARY AND HIGHLIGHT STATEMENT

The Interstate Commerce Commission is an independent agency created by Congress to regulate interstate surface transportation in order to ensure that the public has an adequate, efficient transportation system.

In FY 1992, Congress enacted statutory authority in the Department of Transportation and Related Agencies Appropriations Act providing that user fees collected pursuant to 31 U.S.C. 9701 shall be made available to the Commission to offset its total budget request. The Commission's FY 1994 budget request assumes the approval of the continuation of this offset provision and estimates non-Federal user fee collections of $7.3 million in FY 1994. The Commission's FY 1994 budget estimate, under current legislation, totals $52.766 million and provides for 620 staff-years; the $7.3 million of offsetting collections will reduce the requested budget estimates to an appropriation request of $45.466 million. The staff-year request represents a 70 percent reduction in staffing since 1979. This decrease is illustrated by the chart on page 14.

The Commission's FY 1994 budget provides for a slight reduction in staff-years from its FY 1993 authorized level due to the Government-wide reduction of Federal positions and assumes no legislative changes. The FY 1994 budget request reflects the results of the Commission's ongoing reviews of its offices and their workloads for opportunities to maximize resource utilization through reorganization/consolidation. The charts on pages 15-18 illustrate the planned FY 1994 distribution of staff resources by mode, carrier type, and office.

The Commission has continued to make significant progress in reducing pending cases in several areas. In FY 1992, the Commission instituted substantive rulemakings dealing with a variety of motor issues, including issues prohibiting nonoperating (bankrupt/trustee) motor carriers from disavowing their contracts or filed rates as part of their collection efforts, implementing a new State insurance registration system to replace the bingo card system, and revising the OP-1 motor licensing form to simplify the filing requirements and automate the Commission's handling of the license. Some of the major accomplishments in the motor area included: implementing a new safety fitness licensing policy that conforms with new legislation and coordinates with the Department of Transportation's safety compliance programs; repealing rules governing form and content of contracts of motor contract carriers; issuing a policy statement addressing whether certain truck transportation within a single state is interstate or intrastate; preparing decisions determining which tariff applied to transportation of a shipper's goods; preparing decisions permitting increased intrastate bus fares and intrastate bus exits when States failed to act properly or refused to act on the proposal in a timely fashion; prepared decisions addressing petitions to reopen the Greyhound-Trailways merger proceeding; and prepared a decision clarifying the jurisdiction of the Commission from that of the States regarding regulation of trucking operations.

In the rail program, the Commission issued a number of decisions on policy issues and pending cases dealing with market dominance, rail line abandonment, competitive access, rate reasonableness, nonferrous recyclables, and revenue adequacy. Recent, significant rail accomplishments include preparing notices of proposed rulemakings to modify the regulations governing rates on recyclable commodities; to free petitioners' freight cars from the prescribed charges and to permit charges to be set through private arbitration; and to exempt non-agricultural contracts from Commission filing requirements. The Commission also prepared a number of decisions in case proceedings addressing such issues as: allowing railroads to be exempt from the anti-rebating provisions of the Interstate Commerce Act (the Elkins Act) in their nontransportation market-development activities; revising feeder line regulations; allowing railroads to enter into bilateral agreements concerning car-hire terms; modifying regulations concerning the imposition of public-use conditions in rail abandonments to clarify when the conditions may be sought, to set deadlines for their filing, and to clarify when Commission-imposed jurisdiction to impose such conditions expires; finding that a carrier's contracting for future car placement and supplies was not an unreasonable practice; affirming that both a per car rate and an annual fee charge could be combined to determine the threshold for jurisdiction to consider a rate complaint; awarding reparations of $6.3 million plus $3.7 million interest for shipments of spent nuclear fuel, shipping containers, and irradiated components moving in mandatory special train service; handling a variety of labor/arbitration issues; and recertifying several States to continue their intrastate railroad regulation.

The Commission has exercised its directed rail service authority under 49 U.S.C. 11125 in a few instances to direct service on lines without reimbursement by the Federal Government. The most recent instance of directed rail service occurred January 8, 1993, when the Commission authorized, under 49 U.S.C. 11125, the Great Western Railway Company to perform uncompensated directed rail service over the lines of the Denver Railway, Inc., through September 4, 1993.

The Commission approved two recent intra-office organizational changes. In January 1992, the Office of Proceedings was reorganized into 3 new sections. The Legal Analysis Section will research and analyze issues arising under the Interstate Commerce Act. The Legal Counsel Section, which is primarily responsible for drafting decisions for consideration by the Commission, will enhance the Commission's ability to identify and address legal issues and integrate processing of motor and rail cases by Office of Proceedings staff. The Administrative Section will centralize the Office's administrative, information management, and motor carrier licensing functions.

The Office of Compliance and Consumer Assistance (OCCA) reorganized in January 1992 to combine two former separate sections (Operations and Enforcement) into a unified section to streamline and consolidate the oversight of field operations, provide opportunities for assignments across disciplines to address sporadic workload fluctuations, and enhance secretarial quality control and coordination.

During FY 1993, the Commission approved the reorganization of certain functions in the Office of the Secretary and the Office of Proceedings to eliminate the duplicative handling of case material. This reorganization would ensure proper processing of the unopposed docket, provide centralized case tracking within one Commission office, and enhance the quality of service in responding to public inquiries concerning the docket. In January 1993, the Commission submitted a reprogramming action to the House and Senate Appropriations Subcommittees for the required staff-years and funds.

In August 1991, the Commission requested that the Office of Personnel Management (OPM) review the agency's management and organizational structure in order to explore methods the Commission might employ to improve its efficiency and enhance productivity. OPM assessed the agency's utilization of resources and reviewed the Commission's mission, manpower needs, and procedures used to fulfill the current statutory mandate. In January 1993, OPM provided the Commission with a written report, which the Commission is presently evaluating.

The major portion of the dollar increases in the budget estimates is for two program-related contracts for the continuation of software redesign associated with the conversion of the Commission's 20-year-old timesharing system and the acquisition of optical imaging equipment for the Office of Tariffs. The increased costs for personnel compensation and benefits reflect the cost of within-grade increases and higher health benefit costs somewhat offset by the proposed staffing reduction. Communications and utilities object class increases are primarily due to inflationary increases in copier rental charges and higher local telephone service fees and related charges. A 5.8 percent projected GSA rate increase for headquarters office space and projected cost adjustments for field office space is offset by the lower office space requirement associated with the lower staff-year request. Increases in the other services object class categories also provide for a projected cost increase for the reinstitution of an appropriate level of employee training and inflationary increases in employee health room assessments. The requested increase in the furniture and equipment object class includes the purchase of modular systems furniture for the Fort Worth regional office. OCCA has requested change-of-duty-station funds to realign the regional workforce due to retirement eligibility of many senior staff, resulting in increased costs to personnel benefits, travel, and transportation of things cost categories.

In furtherance of the Omnibus Trade and Competitiveness Act of 1988 (P.L. 100-418), the Commission offers the following information. Although not strictly bound by this statute, or the Metric Conversion Act of 1975 (P.L. 94-168) that it amends, the Commission instituted a proceeding to consider conversion to the metric system in order to foster a uniform scheme of Federal regulation.

On May 26, 1992, the Commission issued its decision on metric conversion in Ex Parte No. 505. The decision concluded that: the Commission had taken positive steps toward voluntary metric conversion and any further action should be based on the needs of carriers and shippers in response to market forces; while the transition to the Metric System is intended to make the Nation more competitive in global markets, imposing mandatory metric conversion on the domestic transportation industry would require substantial investment with little discernible benefit; and actions of other executive agencies, i.e., DOT, GSA, have preempted the necessity of Commission-mandated conversion and regulations, since those lead agencies have taken responsibility in initiating detailed and structured plans and policies concerning the responsibilities and the conversion process as it relates to Commission use and in its regulatory role.

VICE CHAIRMAN SIMMONS, commenting:

At the specific request of the current Chairman and after advice and counsel with Congressional staff, and in the interests of Commission unity, I reluctantly voted to approve the OMB passback of 620 FTEs for our FY 1994 Budget request. As I stated at the Congressional hearings on our FY 1993 Budget request, I continue to believe that 649 FTEs are absolutely necessary for the ICC to successfully perform its duties as statutorily mandated by Congress.

My reluctance to support the OMB passback of 620 FTEs does not stem from any disagreement with the new Administration's laudatory goal of cutting Government-wide spending through realistic, phased reductions in all departments and agencies. Indeed, the Interstate Commerce Commission has reduced its staffing by 70 percent since 1979. If the Federal Government as a whole had experienced equivalent staff reductions during this period, no rational person would be calling for additional reductions in force.

Quite simply, I believe the ICC has long since passed the point at which further staff reductions can only be accomplished by a failure to perform our remaining core responsibilities. Such failures in the past have resulted in adverse impacts on the public such as the undercharge crisis now facing Congress, shippers, and the courts. This crisis resulted directly from the Commission's prior unwillingness and inability to enforce statutory tariff-filing requirements. Similarly, the Commission has only recently begun to address the issues of multiple-discount and shipper-coded tariffs and the need for tariff indices.

I know that under the leadership of our current Chairman, the Commission has the determination to enforce our statute and to fully meet our numerous responsibilities. I only ask the Congress to give us the minimum resources necessary to carry out this determination. Although in my opinion 649 FTEs is this minimum, I can support the OMB passback of 620 in light of Government-wide funding constraints.

COMMISSIONER PHILLIPS, commenting:

I would have preferred a fiscal year (FY) 1994 Budget based on a staffing level of 600 FTEs, allocated among the offices as described below. Despite this preference, I have voted to approve the Chairman's proposal, as contained in the Managing Director's FY 1994 Passback Recommendations. This vote reflects my view that it is appropriate to defer to the Chairman's judgment in exercising my vote on the FY 1994 Budget, because these recommendations mark the first opportunity for the new Administration and our new Chairman to set a benchmark for funding of the Interstate Commerce Commission.

In my judgment a staffing level of 600 FTEs is preferable both to the 620 FTEs provided in the Office of Management and Budget's (OMB) passback and the Managing Director's Fiscal Year 1994 Passback Recommendations, and the 574 FTEs provided by the Commission's Fiscal Year 1994 Budget Estimates, submitted to OMB in September 1992. Staffing at 600 FTEs would provide sufficient staffing of the Commission's current functions. At the same time, it would permit substantial fulfillment of the Commission's goal, as reflected in the FY 1994 Budget Estimates, of contributing significantly to Government-wide deficit reduction, while alleviating the most dire of the consequences predicted to result from the staffing level of 574 FTEs. In voting to adopt 574 FTEs at the Commission's Open Voting Conference in July, 1992, I expressed my agreement with that overall number and reluctance to disturb the package of recommendations developed by the Office Directors for staffing the Commission's statutory functions. Concurrently, I voiced concern over some of the more drastic consequences that were predicted to result.

My proposal would alleviate the most serious of these consequences by increasing the number of FTEs, as shown below,[1] in the Office of Public Assistance and the Offices of the General Counsel, Managing Director, and Secretary over the levels shown in the FY 1994 Budget Estimates. The results for these offices are staffing figures identical to those in the Chairman's proposal. The increases in the number of FTEs over the levels in the FY 1994 Budget Estimates are:

9 in the Office of Public Assistance for a **total of 12**

to permit continuation of the office at current staffing levels. With the exception of the rail public counsel function, the centralized public information service provided by OPA is not statutorily mandated. I prefer that it be retained at some level, nonetheless, because OPA's ability to perform this service outside the strictures of the ex parte rules improves the Commission's ability to serve the public, particularly with respect to the undercharge crisis.

3 in the Office of General Counsel for a **total of 20**

to permit the staffing level recommended by the General Counsel in light of continuing undercharge litigation, and a predicted increase in rail finance litigation as the economy improves.

1 in the Office of the Managing Director for a **total of 61**

to increase the number of accounting personnel in the Budget and Fiscal Office (providing a total of 18 FTEs in that Office) to permit consolidation of all collection functions and fulfillment of the Commission's commitment to eliminate the collection problems identified by the Inspector General.

---

[1] Except as otherwise indicated, these additions are based on a comparison of the two draft budget narratives considered at the July 21, 1992 Voting Conference on the FY 1994 Budget. One narrative justified the Office Directors' assessment of the number of FTEs needed to perform only the Commission's mandatory, statutory duties. The other justified the recommended number of FTEs needed to perform both those duties and other discretionary ones.

23 in the Office of the Secretary for a **total of 93** This includes:

3 to permit continuation of the Library, reference services and Practitioners Examination; and

20 to permit transfer of motor carrier licensing functions from the Office of Proceedings (as in the Managing Director's 1994 Passback Recommendations).

For the Office of Proceedings, the Office of Compliance and Consumer Assistance, and the Office of Economics my proposal results in some additions to the FTEs provided in the FY 1994 Budget Estimates, but results in total staffing figures lower than those in the Chairman's proposal. The specific additions are:

2 in the Office of Proceedings for a total of **67** (4 fewer than the Chairman's proposal).

to ensure the continued ability of the Office to complete cases in a timely manner.

This staffing level also incorporates a reduction of 20 FTEs from the 85 FTEs provided in the FY 1994 Budget Estimates to reflect the transfer of the motor carrier licensing function to the Office of the Secretary.

7 in the Office of Compliance and Consumer Assistance for a **total of 175** (5 fewer than the Chairman's Proposal)

to permit response to all complaints. The draft budget narrative for FY 1994 indicated that staffing at the 168 FTEs adopted in the Budget Estimates (rather than the 186 FTEs recommended by OCCA's Director and the Managing Director) would limit direct OCCA response to emergency complaints and Congressional inquiries. My goal in proposing 175 FTEs is to provide additional staffing for complaint response. This level, which is only 5 fewer than the number recommended by both the Managing Director and OCCA's Director, should permit such response, while still permitting some budgetary trimming.

2 in the Office of Economics for a **total of 63** (8 fewer than the Chairman's proposal)

to ensure continuation of adequate staffing for various functions.

Finally, my proposal would staff the Office of Tariffs with a **total of 59** (the level provided in the FY 1994 Budget

Estimates), which is 3 fewer than the number in the Chairman's proposal.

To permit comparison, the totals detailed above are shown in the following chart. It permits comparison of my staffing proposals with the staffing levels included in the FY 1994 Budget Estimates and in the Chairman's proposal.

COMPARISON OF STAFFING PLANS

Office	FY 1994 Budget Estimates	Chairman's Proposal	Phillips' Proposal
Commissioners' Offices and Satellite Offices	46	45	45
Secretary	70	93	93
General Counsel	17	20	20
Proceedings	85	71	67
Hearings	5	5	5
OPA	3	12	12
Economics	61	71	63
Tariffs	59	62	59
OCCA	168	180	175
Managing Director	60	61	61
TOTAL	574	620	600

COMMISSIONER PHILBIN, commenting:

FY 1994 Budget Recommendations

Last summer, a majority of the Commission determined that 574 FTEs was the appropriate number of personnel for the Commission to perform its statutorily mandated functions. This number was the product of the Managing Director's analysis of the Commission's Offices and their workloads in an attempt to identify opportunities to maximize resource utilization through reorganization/consolidation or elimination of discretionary functions. I believe the Managing Director's methodology was sound, the analysis fairly conducted and the conclusion valid. Nothing has changed since that time to alter my opinion despite a change in Administrations and a direction (devoid of analysis) from OMB to submit a budget requesting 620 FTEs for FY 1994. I believe that this agency can and should, in light of fiscal reality and the new Administration's clarion calls for austerity and sacrifice, maintain its request for a staffing level of 574 FTEs for FY 1994.

However, even though I continue to believe that the ICC should be staffed with 574 FTEs, I hereby vote in favor of the Chairman's proposed staffing of 620 FTEs, but not for the reasons stated on the proposed budget.

Having just completed serving three years as Chairman, my experience has forced me to conclude that 49 U.S.C. §10301, the statute which defines the general organization of the Commission, contains a critical flaw in that it states that "the Chairman is responsible for administering the Commission" yet restricts the authority of the Chairman by requiring the approval of the Commission both for appointment of the heads of major administrative units and the submission of requests for appropriations to the President and Congress. Since my service as Chairman has ended, my conclusion that the statute should be amended to strengthen the authority of the Chairman by eliminating these restrictions on the Chairman's authority to manage the Commission efficiently is not dictated by any self-interest or political philosophy. It is dictated by a sincere desire to make the Commission more rationally manageable by future Chairmen of whatever political persuasion.

On March 13, 1950, President Truman submitted 13 reorganization plans to the Congress, 7 of which dealt with regulatory agencies. After reviewing pertinent recommendations of the Hoover Commission of 1949, President Truman stated:

> The Commissions, concerned primarily with the substantive problems of regulation and with the adjudication of cases, cannot give adequate attention to the day-to-day executive direction of complex organizations. To the extent they have concerned themselves with administrative problems, the unwieldiness of the structure has sometimes rendered administration slow, cumbersome and indecisive.

The Hoover Commission emphasized that: "Administration by a plural executive is universally regarded as inefficient." It then recommended that all administrative responsibility be vested in the Chairmen of the regulatory agencies. Every credible treatise on modern management reiterates that truism.

Absolute authority and personal responsibility for purely internal administrative functions should be vested in a Chairman designated by the incumbent President while maintaining the current statutory safeguards to ensure that the full Commission retains full control over regulatory policy and the direction of regulatory programs mandated by current statutes.

In a report by the GAO dated February 1992 to Senator William V. Roth, Jr., five of sixteen Commissions were identified as having Chairmen vested with the broad authority I propose for the ICC. Among those were the Federal Maritime Commission, of which I was Acting Chairman, and consequently can authoritatively testify that the FMC functioned much more smoothly, efficiently and with less acrimony than has been true of the ICC during my tenure as Chairman.

Those who fear that a Chairman vested with broad authority to administer and manage the internal, non-regulatory affairs of the agency can in some way force the agency to take a substantive, regulatory direction contrary to the wishes of a majority of Commissioners overlook or intentionally ignore systemic legal and practical limitations on a Chairman's ability to turn the Commission into a personal play thing, including the:

(1) restrictions of the civil service rules;
(2) the substantive regulatory statutes;
(3) Congressional oversight authority of the Commission;
(4) Congressional authorization and appropriation authority over budgets; and
(5) the President's legal authority to remove a Chairman, whose performance raises Presidential, Congressional and/or industry concerns, by the stroke of a pen.

It is time for the Congress to modernize the administration of this Commission, by placing all authority for internal administrative matters in the hands of the Chairman and, thereby, also place all personal responsibility for the exercise of that authority, for good or ill, squarely on the shoulders of the Chairman. Until that happens, if ever, it is my intent to vote with the incumbent Chairman on purely administrative matters, whether I agree or disagree with the Chairman's opinion on those matters, unless to do so would result in a manifest injustice of some kind.

Therefore, although I continue to believe that the ICC should be staffed with 574 FTEs in FY 1994, I hereby vote in favor of the Chairman's proposed staffing of 620 FTEs.

COMMISSIONER WALDEN, commenting:

I do not favor the OMB Fiscal Year (FY) 1994 passback of 620 FTEs because it does not achieve real savings at a time when all agencies are understandably expected to reduce their budget, in however small a portion, to contribute to a meaningful reduction in Federal spending. The OMB passback amounts to a 2.5% cut only of the authorized FY 1993 level of 636 FTEs and not a cut from the actual current FTE level. In fact, the OMB passback figure would actually authorize an increase in hiring of full-time permanent employees in order to meet the 620 figure (see the attached chart).[2] As explained below, I also believe that further modest reductions in staffing may be achieved without injury to the functions, both statutory and discretionary, that the Commission currently performs.

However, because I agree that the presentation of the Commission's budget to Congress is primarily the Chairman's responsibility, see 49 U.S.C. §10301 and 49 CFR Part 1011.4, I endorse the Chairman's proposal which adopts the Managing Director's FY 1994 Passback Recommendations. At the same time, my individual views are set forth in this separate expression.

I agree with nearly all of Commissioner Phillips' recommended changes to the OMB passback. In particular, I find her recommended FTE level of 600 better meets today's budget-trimming desires of both branches of the Federal Government than the current OMB passback level, and it also approximates a 2.5% cut from current on-board FTE staffing. In addition, however, I believe the FTE level of 45 for Commissioners and the Satellite Offices should be reduced to 39. The savings of 6 FTEs would be achieved by reducing the Chairman's allotment from 7 to 6, each Commissioner's allotment from 6 to 5, and combining the Offices of External Affairs and Legislative Affairs under a common supervisor. I also believe that the Offices of Secretary, Public Assistance and Managing Director can each afford a modest reduction of 3 FTE's from the OMB passback (Secretary, 93 to 90; Public Assistance, 12 to 9; Managing Director, 61 to 58).

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[2] While the "2/20/93 Onboard Strength" column indicates a current strength of 628, this does not directly correspond to an FTE level. The 628 figure counts permanent full-time employees, special appointments, and co-op appointments. As of today, there are currently 19 special appointments and 11 co-op appointments. Most of these appointments are on a part-time basis and roughly translate into 15 FTEs. Adding these to the current on-board permanent full-time employee level of 599 gives a total current on-board FTE figure of approximately 614. Thus, the OMB passback of 620 FTEs would actually allow an increase of 6 FTEs.

I disagree with Commissioner Phillips with respect to the Office of Proceedings, where I agree with the OMB passback of 71 FTEs. The Commission should ensure that the Office of Proceedings is provided sufficient resources to conclude significant regulatory reform initiatives that are currently underway, without unreasonably delaying our adjudicatory caseload.

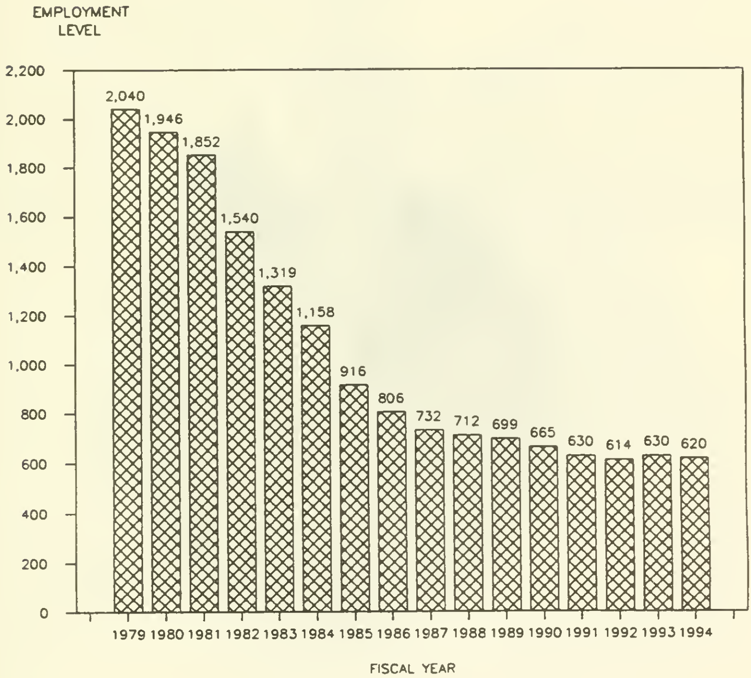
As I gather experience as a Commissioner, I expect to discover other areas in which reductions or adjustments in staffing are appropriate, and I will raise them with the Chairman at that time. Therefore, my personal preference for a figure of 589 FTEs should not be considered a floor for FY 1994 or for further fiscal years. Where the Commission discovers efficiencies in staffing, it should realize them at the earliest time practicable. I also believe that if Congress were to remove one or more statutory functions from the Commission's charter, further and perhaps significant staffing reductions could be achieved. More immediately, if Congress were promptly to pass legislation resolving the undercharge crisis, a significant amount of staff resources currently required to handle the hundreds of undercharge cases presenting myriad issues could be freed to be spent in other deserving areas.

FY 1994 STAFF-YEAR REQUEST PRESENTATION
OF COMMISSIONER WALDEN

OFFICE	FY 1992 ACTUALS	FY 1992 AUTHORIZED	FY 1993 CONGRESSIONAL REQUEST	2/20/93 ONBOARD STRENGTH REPORT	FY 1993 AUTHORIZED	FY 1994 BUDGET ESTIMATES	FY 1994 MD's PASSBACK RECOMMENDATIONS	FY 1994 PHILLIPS' PROPOSAL	FY 1994 WALDEN'S PROPOSAL
COMMISSIONERS	42.0	46	37	39	45.0	46	45	45	39
McDonald	5.9	6	6	7	6.6	7	7	7	6
Simmons	6.0	6	5	6	6.0	6	6	6	5
Philbin	5.8	7	5	5	6.4	6	6	6	5
Phillips	5.0	6	5	5	6.0	6	6	6	5
Emmett/Walden	5.0	6	5	3	6.0	6	6	6	5
Congres. Affairs	4.4	5	4	3	4.0	4	4	4	3
External Affairs	4.1	4	3	3	3.0	4	3	3	3
Human Relations	3.0	3	2	3	3.0	3	3	3	3
Insp. General	2.8	3	2	4	4.0	4	4	4	4
SECRETARY	73.0	75	70	76	76.0	70	93	93	90
GENERAL COUNSEL	22.0	22	17	21	21.0	17	20	20	20
PROCEEDINGS	92.0	94	85	91	94.0	85	71	67	71
HEARINGS	5.0	5	2	5	5.0	5	5	5	5
OPA	12.0	12	0	13	12.0	3	12	12	9
ECONOMICS	73.0	73	63	70	73.0	61	71	63	63
TARIFFS	54.0	55	53	57	64.0	59	62	59	59
OCCA	179.0	184	165	195	185.0	168	180	175	175
MANAGING DIRECTOR	62.0	63	58	61	61.0	60	61	61	58
Front Office	4.4	5	3	3	3.0	3	4	3	3
Budget	15.2	16	15	18	18.0	17	17	18	17
Personnel	12.6	13	12	12	12.0	12	12	12	11
Admn.Svcs.	18.4	18	17	17	17.0	17	17	17	16
Systems	11.4	11	11	11	11.0	11	11	11	11
TOTAL	614.0	629	550	628	636.0	574	620	600	589

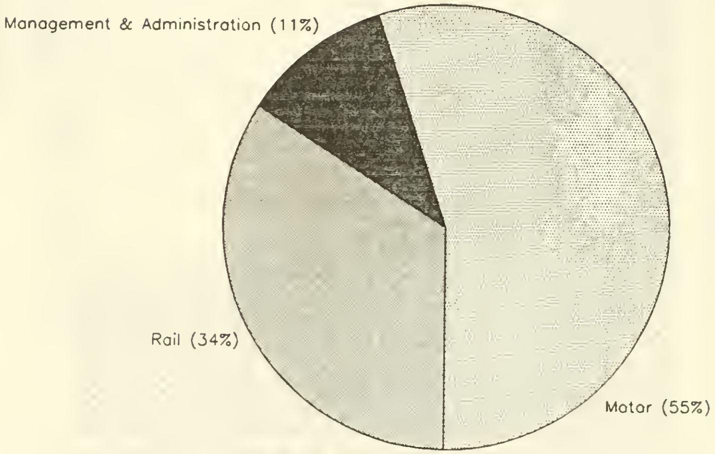
INTERSTATE COMMERCE COMMISSION

AVERAGE EMPLOYMENT: 1979 – 1994



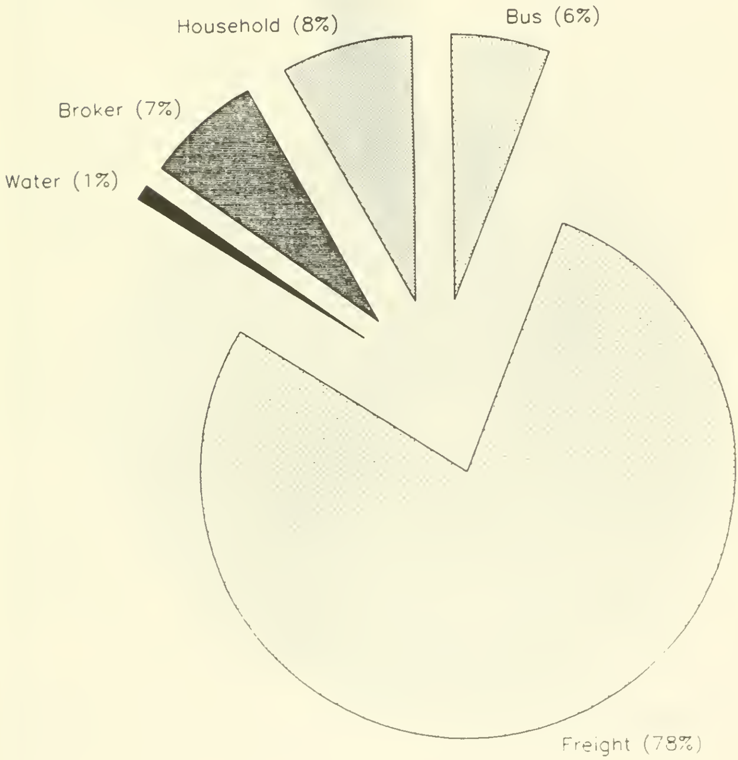
INTERSTATE COMMERCE COMMISSION

PERCENT OF STAFF–YEARS BY PROGRAM



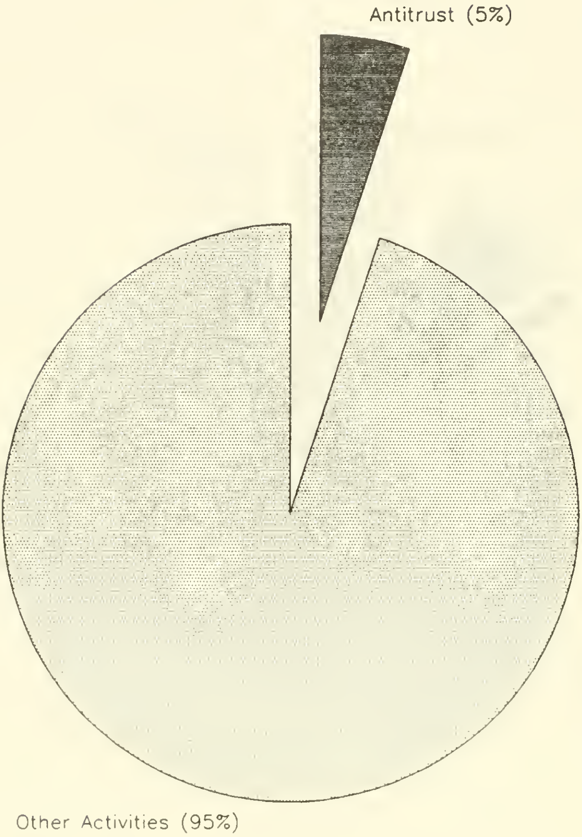
MOTOR PROGRAM

PERCENT OF STAFF-YEARS BY CARRIER TYPE



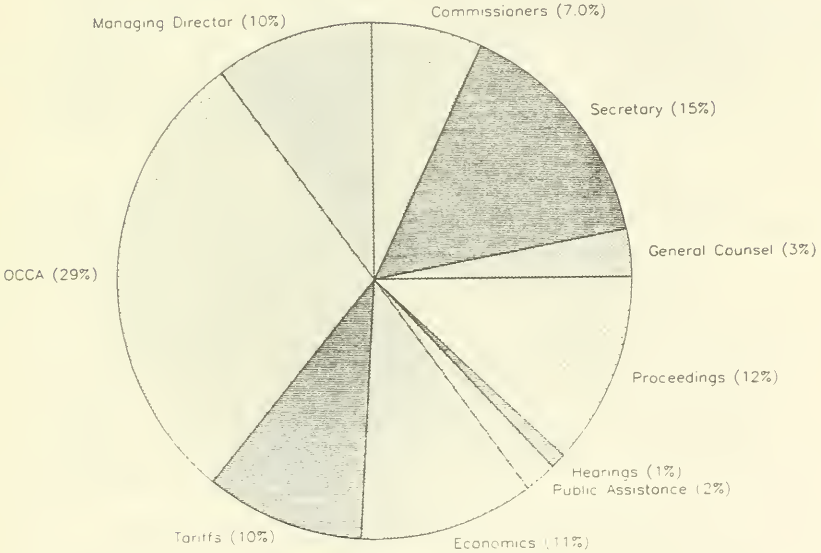
RAIL PROGRAM

PERCENT OF STAFF-YEARS BY TYPE



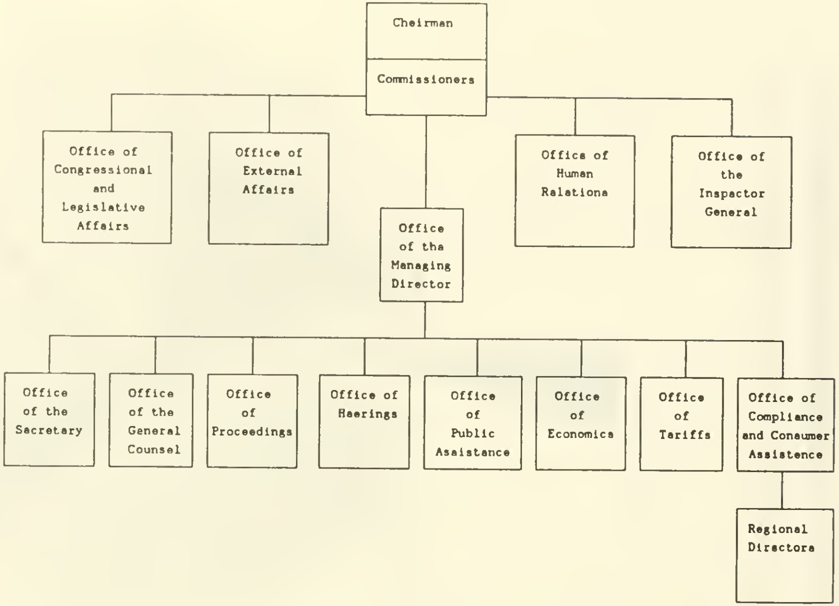
INTERSTATE COMMERCE COMMISSION

PERCENT OF STAFF-YEARS BY OFFICE



INTERSTATE COMMERCE COMMISSION

Organization Chart


Chairman
Commissioners
Office of Congressional and Legislative Affairs
Office of External Affairs
Office of the Managing Director
Office of Human Relations
Office of the Inspector General
Office of the Secretary
Office of the General Counsel
Office of Proceedings
Office of Hearings
Office of Public Assistance
Office of Economics
Office of Tariffs
Office of Compliance and Consumer Assistance
Regional Directors

INFORMATION ON COLLECTION OF USER FEES FROM THE PUBLIC

The Commission routinely collects user fees from applicants and parties in rail finance and abandonment proceedings, motor carrier finance and operating authority proceedings, and complaint and complaint-type declaratory order proceedings. The general policy established in OMB Circular No. A-25 provides that a reasonable charge should be made to each identifiable recipient for an amount of Government service from which a special benefit or service is derived. Also, the Independent Offices Appropriation Act of 1952 authorizes the Commission to establish fees and fee policies for services and benefits it provides to identifiable beneficiaries and requires, to the extent possible, that activities be self-sustaining and that fees be uniformly practicable.

The Commission is required by regulations (49 CFR 1002.3) to review and annually update the user fees based on costs incurred by the Commission for fee-related activities. Fees are updated in accordance with the cost-study formula set forth in 49 CFR 1002.3. Assessment of user fees is commensurate with the approximate costs to the Commission for its activities in processing the parties' submissions. Fees are assessed at the time of filing with the Commission and are categorized by the type of proceeding; the type of rail or non-rail application; and miscellaneous services such as records search, review, copying, certification, and related services.

Currently, the Commission assesses the public for approximately 100 fee items. The fee items range from $.60 per page for copying to $164,700 for rail merger or acquisition proceedings. The proportion of costs recovered by the fee items range from approximately 99.9 percent for an application for authority to establish released value rates or ratings to 10 percent for a petition to discontinue motor carrier passenger transportation in one state. Because the Commission has determined that certain benefits and services also contribute to the general public interest and public policy considerations and believes that the parties should not bear the cost of serving the public, a number of fee items reflect a portion of the total cost of providing the benefit or service. The fee items will reflect the maximum amount of cost recovery permitted by the fee-rounding procedures set forth in 49 CFR 1002.3, with the exception of certain administratively capped fee items and other deferred items.

Costs include direct labor for personnel and fringe benefits, operations overhead, general and administrative costs, and publication costs. Direct labor costs include all staff work, including clerical, professional, and supervisory staff time, performed on the application, petition, proceeding, or service. Fringe benefits are the Government's share of personnel compensation benefits directly associated with the direct labor costs. Operations overhead factor includes those labor and benefit costs incurred by the first supervisory work center above and in support of the function directly performing the work. The Offices' general and administrative expense factor includes the estimated administrative overhead costs for those Offices in which the service or benefit is performed. Staff performing the direct labor must be supplied with space, utilities, supplies, and specialized training to perform the service and/or benefit to the public, and these costs are proportionately factored into the fee item. The Commission's general and administrative expense factor includes the total general costs for Offices that support those Offices providing the service or benefit to the public. These Offices are involved in supplying the management direction, legal assistance, and Commission-wide administrative services to all Commission activities, and their costs are proportionately factored into the fee item. Publication costs include the _Federal Register_ and _ICC Register_.

All costs and factors are reviewed annually and adjusted, if necessary, to reflect the current costs of providing benefits and services to the public. The direct labor cost data are revised yearly to reflect the annual Government-wide general salary increase which takes effect in January. In the current user fee update, served on November 6, 1992, Ex Parte No. 246 (Sub-No.10), _Regulations Governing Fees for Services Performed in Connection with Licensing and Related Services--1992 Update_, the direct labor cost is 4.2 percent for the salary increase that took effect in January 1992. The fringe benefit cost used in the update formula remains at 49.55 percent of the direct labor cost. The operations overhead factor decreased to 9.73 percent, based on the Commission's FY 1991 payroll cost data. The Offices' general and administrative expense factor decreased to 19.52 percent, based on the Commission's FY 1991 actual cost data. The Commission's general and administrative expense factor increased to 11.31 percent. There has been no increase in publication costs. The 1992 fully distributed costs for each item developed from these factors increased all fee items. However, due to the fee-rounding procedures set forth in 49 CFR 1002.3, not all fees will change.

In the _1989 Fee Update_, the Commission determined that the fees for various rail finance and abandonment proceedings and complaints and complaint-type declaratory orders would be increased by 10 percent each year until the fees reach their fully distributed cost level. The Commission reserved the right to cap any of those fees, if fee-waiver activity demonstrated that the public interest warranted capping the fees. Since 1989, the Commission has received only 16 fee-waiver requests. The Commission decided, in the _1992 Update_, that it is appropriate to continue to phase in the fee increases for these items by 25 percent until those fees reach the fully allocated cost level.

INTERSTATE COMMERCE COMMISSION
RESOURCE SUMMARY
($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR PROGRAM	23,317	25,828	25,352
RAIL PROGRAM	16,913	18,899	19,763
GENERAL MANAGEMENT AND ADMINISTRATION	6,151	6,503	7,651
TOTAL ESTIMATE	$46,381	$51,230	$52,766
FUNDING SOURCE:			
OFFSETTING COLLECTIONS-- USER FEES	($5,500)	($7,300)	($7,300)
APPROPRIATION	($40,881)	($43,930)	($45,466)
TOTAL OUTLAYS	$45,904	$51,347	$52,799
OFFSETTING COLLECTIONS-- USER FEES	($5,500)	($7,300)	($7,300)
APPROPRIATION	($40,404)	($44,047)	($45,499)
FULL-TIME EQUIVALENT EMPLOYMENT	614	630	620

INTERSTATE COMMERCE COMMISSION
STAFF-YEAR SUMMARY
BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	263	272	263
Bus	25	25	22
Household Goods	25	26	27
Broker	26	26	25
Water Carrier	1	1	1
TOTAL MOTOR PROGRAM	340	350	338
RAIL			
Antitrust	7	11	11
Other	198	203	203
TOTAL RAIL PROGRAM	205	214	214
GENERAL MANAGEMENT AND ADMINISTRATION	69	66	68
COMMISSION TOTALS	614	630	620

INTERSTATE COMMERCE COMMISSION

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1992		FY 1993		FY 1994	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	42	$4,064	42	$4,368	45	$4,786
Secretary	73	3,708	76	4,061	93	5,094
General Counsel	22	2,243	21	2,279	20	2,311
Proceedings	92	7,375	94	7,937	71	6,280
Hearings	5	438	5	462	5	477
Public Assistance	12	1,070	12	1,141	12	1,203
Economics	73	6,498	73	6,989	71	7,056
Tariffs	54	3,224	63	4,893	62	4,981
Compliance and Consumer Assistance	179	12,298	185	13,334	180	13,690
Managing Director	62	5,463	59	5,766	61	6,888
Commission Totals	614	$46,381	630	$51,230	620	$52,766

INTERSTATE COMMERCE COMMISSION

MOTOR PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1992		FY 1993		FY 1994	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	13	1,258	13	1,352	13	1,383
Secretary	53	2,692	54	2,885	72	3,944
General Counsel	5	510	4	434	3	347
Proceedings	40	3,206	37	3,124	12	1,062
Hearings	1	88	1	92	1	95
Public Assistance	5	446	5	475	5	501
Economics	9	801	7	670	6	596
Tariffs	43	2,567	52	4,039	55	4,419
Compliance and Consumer Assistance	171	11,749	177	12,757	171	13,005
Managing Director	0	0	0	0	0	0
Commission Totals	340	$23,317	350	$25,828	338	$25,352

INTERSTATE COMMERCE COMMISSION

RAIL PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1992		FY 1993		FY 1994	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	24	$2,322	24	$2,496	27	$2,871
Secretary	20	1,016	22	1,176	21	1,150
General Counsel	15	1,529	15	1,628	15	1,733
Proceedings	52	4,169	57	4,813	59	5,218
Hearings	4	350	4	370	4	382
Public Assistance	7	624	7	666	7	702
Economics	64	5,697	66	6,319	65	6,460
Tariffs	11	657	11	854	7	562
Compliance and Consumer Assistance	8	549	8	577	9	685
Managing Director	0	0	0	0	0	0
Commission Totals	205	$16,913	214	$18,899	214	$19,763

INTERSTATE COMMERCE COMMISSION

GENERAL MANAGEMENT AND ADMINISTRATION PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1992		FY 1993		FY 1994	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	5	$484	5	$520	5	$532
General Counsel	2	204	2	217	2	231
Managing Director	62	5,463	59	5,766	61	6,888
Commission Totals	69	$6,151	66	$6,503	68	$7,651

COMMISSIONERS AND THEIR OFFICES

The FY 1994 request for the Chairman, the Commissioners, and the satellite offices is $4,786,000 and 45 staff-years.

The Commission decides individual cases and determines policy through its rulemaking and adjudicative proceedings to ensure the effective administration of the Interstate Commerce Act, related statutes, and regulations. The Chairman serves as administrative head of the agency, formulating plans, proposing policies, and providing for the overall direction and management of the agency.

Each Commissioner is assisted in carrying out his or her responsibilities by a small staff who review and research the law and pleadings related to draft decisions on cases, policy statements, rulemakings, proposed legislation, and administrative matters. They brief the Commissioners, prepare votes, draft separate expressions, and recommend action in cases or other matters.

Four satellite offices report directly to the Chairman: the Office of Congressional and Legislative Affairs, the Office of External Affairs, the Office of Human Relations, and the Office of the Inspector General. The Office of Congressional and Legislative Affairs handles congressional correspondence and requests for information, monitors legislation relating to subject matter within the Commission's jurisdiction, and prepares comments or testimony for hearings. The Office of External Affairs responds to inquiries from the press and general public and coordinates all Commission liaison activities with Federal, State, and local government entities concerning the Commission's policies and practices. The activities of the Office of Human Relations include adjudicating equal employment opportunity (EEO) complaints, conducting training seminars on human relations, monitoring the enforcement of civil rights laws, and intervening on behalf of employees regarding EEO concerns. The Office of the Inspector General (OIG) audits and investigates the agency's activities to prevent and detect instances of fraud, waste, and abuse and to promote efficiency and economy in agency operations.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Rendered 567 decisions emanating from the consideration of administrative matters and adjudication of licensing, rate, and finance cases filed by motor freight, bus, water, and rail carriers.

- Developed regulatory policies for surface transportation providers under the Commission's jurisdiction through adjudication and rulemaking.
- Participated in congressional hearings on oversight of the motor carrier industry, on negotiated rates, and on takeovers in the motor carrier industry.
- Testified at hearings on the Commission's FY 1993 appropriation and responded to inquiries from Members of Congress concerning the Commission's budget.
- Maintained an outreach program to House and Senate offices, providing up-to-date information on railroad abandonment proceedings and alternatives to abandonment.
- Compiled and submitted the 1991 Annual Report to Congress.
- Provided materials and briefing sessions for congressional staff members regarding the Commission's activities pertinent to pending legislation and developments in the transportation industry.
- Responded to written and telephone requests for information from the Congress and the public on all phases of Commission activities and worked with local and national news media on the meaning and impact of Commission actions.
- Provided EEO-related training to headquarters and regional employees and handled eight EEO complaints.
- Prepared and timely submitted to the Equal Employment Opportunity Commission and the Office of Personnel Management required EEO-related and affirmative action accomplishment reports, updates, and plans.
- Developed the Commission's FY 1992 Audit Plan, completed five audits, and handled eight OIG investigations resulting in three administrative actions. The monetary impact of these investigations was approximately $175,000.

OBJECTIVES FOR FY 1993 AND FY 1994

- Develop and implement surface transportation policy through adjudications and rulemakings.
- Decide, within the statutory deadlines, the licensing, rate, and finance cases brought before the Commission.

- Continue implementation and application of current law.
- Participate in congressional hearings and respond to requests for comment on legislative proposals.
- Continue to improve the agency's operational efficiency and productivity.
- Continue to be responsive to congressional and public inquiries on Commission activities.
- Continue to resolve equal employment opportunity and human relations concerns and provide supervisory training designed to promote equitable treatment of employees.
- Continue to expand use of computers and other means of automation to supplant current manual or paper-based operations.
- Conduct audits listed in the Commission's Audit Plan and initiate investigations in response to employee and external complaints.
- Expand public outreach through continued development and enhanced dissemination of agency information through the Offices of External Affairs and Congressional and Legislative Affairs.

BENEFITS TO THE PUBLIC

The Commission maintains jurisdiction over more than 61,000 for-hire companies providing interstate surface transportation. The Commission is charged with ensuring that competitive, efficient, and safe transportation services are provided to meet the needs of shippers, receivers, passengers, and consumers. The Commissioners shape the overall policies which lead to this end and supervise all of the Commission's activities.

WORKLOAD

Unlike many other Federal regulatory agencies, which decide a relatively small number of cases annually, the Interstate Commerce Commission's workload is composed of thousands of matters that vary substantially in complexity, scope, and importance. These range from procedural matters to complex merger, acquisition, abandonment, construction, and rate cases. During FY 1992, 567 decisions were made by the Commission, which included adjudications, rulemakings, investigations, and administrative matters. In addition, individual Commissioners took action relating to procedural or scheduling questions on matters under Commission consideration. Certain other matters, particularly initial decisions on routine motor carrier cases, are handled for the Commission either by Administrative Law Judges or employee decisionmaking boards.

The motor carrier licensing workload is likely to decrease slightly through FY 1993, reflecting a reduction in the number of dual applications for permanent freight and broker authority. The number of motor finance matters coming before the Commission for decision is expected to decrease slightly from FY 1992 levels, reflecting the inability of potential purchasers to secure equity financing and the relaxed entry requirements. Conversely, the Commission expects a tremendous influx of undercharge cases from bankruptcy and district court referrals across the country. Additionally, the Commission expects to process many of the hundreds of rate reasonableness cases currently pending before it. The number of rail rate matters filed for Commission consideration is expected to increase in FY 1993 and then decrease in FY 1994. This is due to an increase in the number of pipeline cases currently before the Commission and the number of decisions resulting from the remaining old rail rates cases. In FY 1993, rail finance cases are expected to increase over FY 1992 levels, then stabilize in FY 1994, which reflects increased track rationalization efforts by several major railroads. Rail finance and rate matters that remain pending or are being filed are more complex and require more time in the review and decisionmaking phase than do motor cases.

Staff resources will also be expended on legislative matters and public inquiries. In FY 1993 and FY 1994, the Office of Congressional and Legislative Affairs will assist the Commission in providing information for presentation at congressional hearings, developing comments on proposed legislation for submission to Congress, and responding to inquiries from Members of Congress. Also, various Commission offices will be required to provide information and assistance in handling inquiries that are made of individual Commissioners.

The Office of External Affairs will be coordinating the Commission's public affairs, media information program, and industry liaison activities. The Office's activities include providing advice and information about Commission programs, policies, and proceedings to the public, industry, special interest groups, and the media. In addition, the Office handles specific inquiries from other governmental entities.

Staff of the Office of Human Relations will perform work which is of a general management or administrative nature, investigate complaints, and provide human relations programs for the agency's workforce.

The Office of the Inspector General will conduct independent reviews, audits, and investigations of the Commission's financial management and internal control systems and other audits and investigations related to the Commission's regulatory mission, report the findings, and make recommendations to the Chairman.

RESOURCES

The 45 staff-years requested for FY 1994 include 7 staff-years to be employed by the Chairman and 6 staff-years for each Commissioner. The four satellite offices include 14 staff-years; this number includes 4 staff-years in the Office of Congressional and Legislative Affairs, 3 staff-years in the Office of External Affairs, 3 staff-years in the Office of Human Relations, and 4 staff-years in the Office of the Inspector General.

Staff-Years

	Actual FY 1992	Authorized FY 1993[1]	Requested FY 1994
Chairman	6	7	7
Commissioners	22	24	24
Office of Congressional and Legislative Affairs	4	4	4
Office of External Affairs	4	3	3
Office of Human Relations	3	3	3
Office of the Inspector General	3	4	4
Total Budget Estimates	42	45	45

Personnel Compensation and Benefits - Included in the $3,848,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - For FY 1994, a total of $45,000 is requested. This includes an allotment of $6,000 for each of the four Commissioners, $8,000 for the Chairman, and a total of $13,000 for the satellite offices. These travel resources will provide for Commission representation at meetings and conferences with shippers, carriers, and other interested groups. Travel funds are required for conducting EEO complaint investigations, providing human relations training, conducting internal audit and investigative activities in the regions, and attending field hearings held by congressional committees at which the Commission testifies.

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[1] Staff-year display reflects the FY 1993 authorized levels and does not equal the Resource Summary staff-year estimates as actual FY 1993 FTE usage is not available by individual organizational component.

Contracts - A total of $50,000 is requested for contracts for the Office of the Inspector General. Contractual services are required to provide for ad hoc audit, investigatory, and audit services to meet unanticipated needs.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

Each agency designated to establish an Office of Inspector General in the Inspector General Act Amendments of 1988 is required to provide budget authority and staff-year levels. The requested information follows:

	FY 1992	FY 1993	FY 1994
Staff-years	3	4	4
Budget Estimates	$269,000	$421,600	$436,000

COMMISSIONERS AND THEIR OFFICES

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$3,277	$3,476	$3,848
Travel	25	33	45
Contracts	0	50	50
Other Expenses	762	809	843
TOTAL ESTIMATES	$4,064	$4,368	$4,786
Offsetting Collections	0	0	0
Appropriation	$4,064	$4,368	$4,786

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	9	9	9
Bus	1	1	1
Household Goods	2	2	2
Broker	1	1	1
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	13	13	13
RAIL			
Antitrust	1	1	1
Other	23	23	26
TOTAL RAIL PROGRAM	24	24	27
GENERAL MANAGEMENT AND ADMINISTRATION	5	5	5
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	42	42	45

OFFICE OF THE SECRETARY

The FY 1994 request for the Office of the Secretary is $5,094,000 and 93 staff-years.

The Office of the Secretary is the custodian of the Commission's seal and official records. The Office ensures legal service upon parties of Commission decisions and notices; distributes mail; provides printing support for the agency; and examines, distributes, and monitors the status of documents filed in formal Commission proceedings. The Office also renders informal, legal opinions; renders decisions on procedural motions; provides library and reference services; completely processes unopposed motor applications, and administers the examination program for non-attorney practitioners.

The Office presently is divided into four components: the Legal Unit, the Library and Reference Services Unit, the Commission Service Section, and the Public Records Section.

The Legal Unit examines, distributes, and monitors the status of documents filed in formal Commission proceedings and is involved with the assignment of cases to offices within the Commission. The Unit also prepares decisions on procedural motions, such as extensions of time, motions to hold proceedings in abeyance, motions for protective orders, and other procedural matters. In FY 1992, the Unit began to handle fully the rendering of informal interpretations of the Interstate Commerce Act, related statutes, and the Commission's rules and regulations. Comprehensive, written interpretations are provided to other Offices within the Commission, congressional offices, Federal and State Government officials, carriers, shippers, and the general public.

The Commission Service Section processes the votes of the Commission, provides proper documentation of Commission actions in formal and informal proceedings, and serves all Commission decisions, notices, and certificates. The staff maintains documentation on Commission conferences, meetings, and oral arguments and publishes notices in the Federal Register and the ICC Register. This Section also provides mail management, printing, reproduction, and updates and maintains databases of centralized computer systems, which track cases and individual filings.

The Public Records Section maintains the Commission seal and the public records filed with the Commission. This staff maintains all public record files, copies and certifies records, prepares certified indexes of proceedings appealed to the courts, maintains all public docket and operating authority files, processes applications and other filings for which fees are assessed, and operates the Microfilm Unit. This Section also maintains the records required for the Commission's insurance recordkeeping program.

In FY 1993, the Commission approved a reorganization plan that established two subordinate Sections: the Adjudication Section and the Section of Records, Licensing, and Service. This reorganization plan is expected to be implemented during FY 1993, following Congressional approval, and involves the reprogramming of 20 staff-years from the Office of Proceedings to the Office of the Secretary.

The Adjudication Section would consist of three branches. The Legal Branch and the Clearance Branch will assume the responsibilities of the present Legal and Clearance Units. The present Library, Reference Service, ICC Register, and Federal Register functions would be combined within the Legal Publications Branch. This Branch will also be responsible for performing duties associated with process of service and the printing and public release of the Commission's decisions, notices, and certificates.

The Section of Records, Licensing, and Service would consist of three branches. The Records Control Branch would implement the responsibilities of the present Mail and Microfilm Units. The Public Records Branch would handle the duties and responsibilities of the present Appellate Briefing, Certifications, Insurance, and Recordation Units. Responsibilities for case status matters would transfer from the Office of Proceedings. The Licensing Branch would consist of the present Applications Examining Unit and two Paralegal Branches, which would transfer from the Office of Proceedings.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Issued 86,290 Commission decisions.
- Handled 138,411 insurance filings.
- Microfilmed 1,190,000 pages of case docket filings.
- Monitored and collected delinquent tariff and insurance fee billing accounts.
- Processed 17,370 applications and other matters from the transportation industry.
- Prepared 8,800 register pages of public notices.
- Collected $5,397,041 in filing and user fees.
- Studied the potential benefits of installing optical scanning equipment and computer software to enhance the storage and retrieval of Commission documents.

- Installed an automated telephone response system to improve service to the public on the status of pending applications and proceedings.
- Installed computer software to enhance the legal research of Commission decisions by Commission attorneys and the legal research and preparation of informal written legal interpretations.

OBJECTIVES FOR FY 1993 AND FY 1994

- Enhance and improve the storage and retrieval of Commission documents through the installation of efficient optical scanning equipment, computer software, or microfilming equipment and processes.
- Continue to provide the public with up-to-date information regarding the Commission's docket.
- Provide timely processing of Commission applications, fees, decisions, notices, pleadings, and insurance filings; assign and monitor proceedings; timely issue procedural orders; and provide legal interpretations on transportation-related issues.

BENEFITS TO THE PUBLIC

The Office of the Secretary formally notifies the public of all Commission decisions and keeps the public informed of applications and their disposition. Additionally, the Office provides access to public records and answers inquiries regarding current, historical, legal, and other matters handled by the Commission.

WORKLOAD

The Office of the Secretary performs a variety of activities, which are primarily generated by filings from the public, and provides services to the Commission's Offices. These activities, in FY 1994, will be divided into seven major categories: case control; maintenance of public records (docket files); applications and fees; insurance filings; printing and publishing services; mail processing; and legal matters, which include case assignment, monitoring, and informal legal opinions and interpretations.

The Office will commit 93 staff-years to these functions in FY 1994. Case control activities will consume about 18 percent of these resources; applications and fees about 32 percent; insurance and docket activities about 12 percent and 8 percent, respectively; and other activities, the balance.

During FY 1992, the proportion of motor decisions included in the total number of decisions cleared has gradually diminished while the proportion of rail decisions included in that total has increased. Proceedings involving Ex Parte MC-177 (negotiated rates/undercharge) issues, that were temporarily held in abeyance until resolution of the policy to be followed in issuing decisions in these matters, should be processed in FY 1993. The number of other motor decisions cleared is anticipated to be somewhat stable. The number of rail decisions cleared is projected to increase through FY 1993 and drop slightly in FY 1994 as the Commission, through the hearing process, investigates abandonments more closely, resulting in option papers, procedural orders, trails-use decisions, and other decisions as the abandonment proceedings are processed through clearance.

Issued decisions and Register pages are expected to increase in FY 1993 primarily due to the expected release of the Ex Parte MC-177 motor issues that were being held and then returned to normal workload level in FY 1994. The undercharge cases are also expected to increase the motor mail volume in FY 1993 and FY 1994 as the Commission begins to address the individual cases and provides the service of documents. The decrease in the number of issued decisions associated with the undercharge cases will also impact on the FY 1994 docket workload.

The projected increase in FY 1993 and FY 1994 in the assigning and processing of motor and rail cases is due to a projected increase in the number of cleared decisions and the workload impact of the Supreme Court's decision in Maislin Industries, U.S., Inc. v. Primary Steel, Inc., 497 U.S. 116 (1990).

The number of certified copies increased in FY 1992, due to a return to the more typical interest by the public compared to that shown in FY 1991 in obtaining documents. For FY 1993 and FY 1994, a slight decrease in the overall number of certifications is anticipated due to an anticipated decrease in the number of cleared decisions in the aftermath of the Maislin litigation.

The number of insurance filings increased from FY 1991 to FY 1992 because there was an increase in the use of short-term insurance, due to the state of the economy with companies entering and exiting as they shopped for better rates. We expect a downward trend during FY 1993 and FY 1994 because a return to the use of longer term insurance is anticipated.

Because the OP-1 form (motor carrier licensing application) is currently being redesigned and the final format will be known later this year, a slight decrease in applications for FY 1993 and FY 1994 is anticipated, since this new form will require separate filings for specific types of operations or authority. By FY 1994, applicants should recognize when it is unnecessary to request new authority and, as a result, we anticipate that the application-processing level will stabilize. This change in the OP-1 form, coupled with the slight decrease in the number of motor cleared decisions, also will decrease the printing workload projected for FY 1993 and FY 1994.

The slight decrease in the number of applications between FY 1992 and FY 1993 also will affect the workload involved in maintaining the docket files. That is expected to decrease in FY 1993. A drop in FY 1994 staffing is planned for docket files due to new optical scanning equipment, computer software, or enhanced microfilming equipment and processes which are expected to be in operation in FY 1994 and should increase processing efficiency. Also, a decrease in issued decisions for rail is predicted based on the first quarter FY 1993 workload volume which will impact on the maintenance of docket files.

The number of pages printed in FY 1992 decreased from the FY 1991 level due to the decreased need to replenish the supply of advisory pamphlets issued by the Commission in both rail and motor matters and the printing of the motor carrier licensing application (OP-1) and Certificate of Foreign Registration (OP-2) forms. The workload is expected to remain at about the same level in FY 1993 and FY 1994.

The workload in the Library and Reference Services Unit has reflected a sharp decrease in volume due to the implementation of the automated response system in January 1993. Prior to the activation of the automated system, the Unit responded, answered, and directed many incoming calls and inquires. The workload reduction in FY 1993 and FY 1994 does not have a significant effect on the staff-years requested for the Unit, since the workload was not staff intensive.

The monies collected for fees and services were sustained near the FY 1991 level due to the aggressive collection of delinquent tariff and insurance fee billing accounts and an increase in insurance filings. The fees collected in FY 1993 and FY 1994 are expected to exceed the FY 1992 level due to the fee increases included in the 1992 Update and 1993 Update. The 1992 Update includes increases in fees for permanent and emergency temporary motor carrier operating authority applications and motor carrier finance proceedings. Also, the Commission is proposing to eliminate the caps on fees for rail finance and abandonment proceedings and complaint and complaint-type declaratory order proceedings.

The printing, mail room, applications and fees, and insurance-posting functions must be performed in a timely manner due to statutory, as well as internal, deadlines. If the Office records are not updated in a timely fashion, unnecessary burdens are placed on other Offices; and the public may be unduly harmed, either financially or by failure to be afforded due process.

RESOURCES

Personnel Compensation and Benefits - Included in the requested $3,566,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Travel funds of $2,000 are requested primarily for local travel, for training purposes, and to attend meetings with other agencies.

Contracts - A total of $35,000 is requested for two contracts for this Office in FY 1994. The reporting contract, estimated at $10,000, covers the cost of all Commission oral hearings, conference transcripts, and depositions. The messenger service contract, estimated at $25,000, covers the cost of messenger service to deliver decisions, Federal Register documents, legislative materials, and other official documents in the Washington area.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Cleared Decisions	250	305	265
Issued Decisions	84,090	85,000	82,000
Certifications	410	310	310
Indexing Court Proceedings	26	10	10
Insurance Filings	138,411	135,000	131,500
Maintenance of Docket Files	885,000	880,000	835,000
Applications and Fees	17,140	15,300	15,300
Register Pages	8,500	8,500	8,300
Printing	10,769,000	10,632,000	10,511,000
Mail	515,050	589,000	570,000
Library/Reference Services	12,600	6,800	6,300
Proceedings Processing and Assignment	920	960	970
Interpretations	215	245	250
Rail Workload			
Cleared Decisions	338	420	345
Issued Decisions	2,200	2,100	2,100
Certifications	180	190	190
Indexing Court Proceedings	22	50	45
Maintenance of Docket Files	305,000	290,000	290,000
Applications and Fees	230	230	230
Register Pages	300	300	500
Printing	4,003,000	4,003,000	4,002,000
Mail	180,000	180,000	180,000
Library/Reference Services	6,900	3,500	3,500
Proceedings Processing and Assignment	600	700	700
Interpretations	19	23	23
Fees Collected	$5,397,041	$6,325,000	$6,257,000

OFFICE OF THE SECRETARY

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$2,524	$2,818	$3,566
Travel	1	2	2
Contracts	12	22	35
Other Expenses	1,171	1,219	1,491
TOTAL ESTIMATES	$3,708	$4,061	$5,094
Offsetting Collections	(847)	(1,102)	(1,095)
Appropriation	$2,861	$2,959	$3,999

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	40	41	55
Bus	4	4	6
Household Goods	2	2	3
Broker	6	6	7
Water Carrier	1	1	1
TOTAL MOTOR PROGRAM	53	54	72
RAIL			
Antitrust	2	2	2
Other	18	20	19
TOTAL RAIL PROGRAM	20	22	21
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	73	76	93

OFFICE OF THE GENERAL COUNSEL

The FY 1994 request for the Office of the General Counsel is $2,311,000 and 20 staff-years.

The Office provides a full range of legal services to the Commission and staff, including defense of its decisions, responses to requests for legal opinions, and preparation of draft decisions in major cases. Acting as defense counsel, the Office prepares and files pleadings in court, delivers oral arguments before the courts, negotiates with counsel for other parties, and advises the Commission on further steps it should take in litigated cases. Acting as legal advisor, the Office advises the Commission on defensibility of major decisions, provides drafting service on major decisions, and gives legal advice as requested by the Commission and senior staff.

MAJOR ACCOMPLISHMENTS IN FY 1992

On judicial review, the Office has prevailed in more than 9 out of 10 cases, on a yearly average. FY 1992 court decisions included the following:

- Persuaded the Supreme Court in National Railroad Passenger Corp. v. Boston and Maine Corporation, that the Rail Passenger Service Act, Section 402(d), authorizes the compensated taking by Amtrak of a segment of Boston and Maine's track where Amtrak, with ICC approval, subsequently reconveys the track to Central Vermont Railway.
- The D.C. Circuit affirmed the Commission's finding in Society of the Plastics Industry v. ICC, that Multiple Independent Factor Through Rates as published by Consolidated Rail Corporation and other rail carriers are lawful joint rates.
- In the continuing litigation over the filed rate doctrine, the Fifth Circuit affirmed a district court decision upholding the Commission's decision that a loss-of-discount provision in a tariff of Campbell 66 Express was an unlawful loss-of-discount penalty for delayed payment. *See* Delta Traffic Service, Inc. and Campbell 66 Express, Inc. v. ADM of Mississippi, Inc. et al.

In its advisory service, the Office averaged 43 formal and informal requests for opinions a month and provided advice and legal drafting in numerous major cases.

The Office has been assigned lead responsibility for the preparation and circulation of opinions and rules in selected proceedings. For example, in FY 1992 this Office prepared significant decisions in Finance Docket No. 31281, Arkansas and Missouri Pacific Railroad Company v. Missouri Pacific Railroad Company, involving compensation for trackage rights over the A&M bridge; Finance Docket No. 31363 (Sub-No. 1), Association of P&C Dock Longshoremen v. Pittsburgh and Conneaut Dock Company (P&C Dock), resolving P&C Dock Company's common carrier status and its obligation to afford labor protection; and Finance Docket No. 30965 (Sub-Nos. 1 and 2), the Guilford Transportation Industries rail lease transactions.

OBJECTIVES FOR FY 1993 AND FY 1994

- Continue to provide a thorough defense of all judicially reviewed Commission decisions.
- Respond to all requests from the Commission and its staff for decision drafting and opinions on the legal implications of Commission actions and the proper interpretation and application of statutory and decisional law.

BENEFITS TO THE PUBLIC

Commission decisions made in the public interest are based upon legal advice provided by this Office, which defends those actions when subject to judicial review.

WORKLOAD

Since FY 1989, this Office has used a computer-based system to track actual workload. Because the workload for litigation is task-based (*i.e.*, counting numbers of pleadings written, arguments presented, and advisory memos transmitted), the workload counts do not correspond to the number of cases reflected in the Commission's Annual Report or to projections for FY 1990 and prior years.

The previously predicted decline in rail finance litigation is now being felt. However, the decline is not as severe as anticipated. Indeed, the finance litigation workload for FY 1992 was on a par with the workload in FY 1989 although less than the workload in FY 1990 through FY 1991. Finance litigation is expected to remain relatively stable in FY 1993 and begin rising again during the latter half of FY 1994 as the economy improves and carriers are better able to afford finance transactions that carry costly labor protection obligations. Also as predicted, the number of rail rates cases litigated remained depressed in FY 1992, reflecting the fact that the Commission's standards for reviewing the reasonableness of rail rates for non-coal traffic, particularly for small shipments, are unsettled. Rates litigation is not expected to rise until FY 1995, as new and complex issues involving rail rate reasonableness work their way through the Commission to the courts.

An FY 1992 decline in rail rulemaking litigation is also reflected in our projections for FY 1993 and FY 1994.

The Office has experienced a substantial surge in motor carrier rates litigation during FY 1992. Although the Supreme Court in the Maislin case has ruled on the unlawful practice/negotiated rates controversy that raged in FY 1991, the Office has encountered a flurry of litigation over various aspects and effects of the filed rate doctrine as to the huge undercharge claims problem stemming from carrier bankruptcies that the Supreme Court has yet to resolve. The Supreme Court has granted *certiorari* to decide several of these issues in the Carolina Freight case. Other basic issues recently decided by the Ninth Circuit in the Transcon case are likely to be appealed to the Supreme Court. Negotiated rates/undercharge disputes should begin a slow decline late in FY 1994, after the various courts resolve these fundamental issues. Opinion and litigation work involving motor carrier rulemakings is expected to decline once the Third Circuit rules on the merits of the Commission's Ex Parte MC-208 undercharge collection rules. The number of motor carrier licensing cases should continue to decline in FY 1993 and FY 1994 as those States which have unsuccessfully attempted to regulate intrastate motor transportation in ways that conflict with the Commission's interstate motor regulation accede to the Commission's paramount jurisdiction. Motor carrier finance cases are predicted to decline with the conclusion of Greyhound bankruptcy-related matters. Motor finance litigation is also expected to decline as the courts resolve pending litigation over the interplay between State motor carrier licensing laws and the Commission's power to approve interstate motor carrier buy/sell agreements.

From the 22 staff-years which the Office expended in FY 1992, economies and efficiencies flowing from its computer network will enable it to operate with 1 less clerical position in FY 1993 and a second clerical position in FY 1994. Apart from the diminution of workload due to computerization, the Office anticipates a change in its FY 1994 workload mix. Specifically, the number of motor carrier rates opinions will decline as negotiated rates litigation begins winding down. This will be offset by increases in rail finance work, as the economy improves, and railroads become more active in this area.

RESOURCES

Personnel Compensation and Benefits - Included in the $1,937,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses. Costs associated with the reduction of the staff-years in FY 1993 and FY 1994 are not included because the Office anticipates that staff-year attrition and/or employee reassignments will occur.

Travel - Staff of the General Counsel's Office is required to appear in courts throughout the country to defend Commission decisions. Projected travel expenses of $13,000 are expected for FY 1994.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Opinions	207	134	104
Rulemakings	26	23	18
Rate Cases	132	82	60
Licensing Cases	43	26	23
Finance Cases	6	3	3
Litigation	161	108	67
Rulemakings	28	14	4
Rate Cases	85	64	41
Licensing Cases	19	10	6
Finance Cases	29	20	16
Rail Workload			
Opinions	239	238	262
Rulemakings	42	42	42
Rate Cases	59	61	63
Licensing Cases	3	0	0
Finance Cases	135	135	157
Litigation	173	190	200
Rulemakings	11	11	11
Rate Cases	41	44	44
Licensing Cases	0	0	0
Finance Cases	121	135	145
General Management and Administration Workload	76	76	79

OFFICE OF THE GENERAL COUNSEL

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$1,885	$1,912	$1,937
Travel	11	13	13
Contracts	0	0	0
Other Expenses	347	354	361
TOTAL ESTIMATES	$2,243	$2,279	$2,311
Offsetting Collections	0	0	0
Appropriation	$2,243	$2,279	$2,311

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	4	4	3
Bus	1	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	5	4	3
RAIL			
Antitrust	3	3	3
Other	12	12	12
TOTAL RAIL PROGRAM	15	15	15
GENERAL MANAGEMENT AND ADMINISTRATION	2	2	2
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	22	21	20

OFFICE OF PROCEEDINGS

The FY 1994 request for the Office of Proceedings is $6,280,000 and 71 staff-years. The Office provides the Commission with staff resources for the formulation and articulation of new policies through the rulemaking process and the adjudication of thousands of individual proceedings.

The work of the Office continues to be affected by motor and rail regulatory reform legislation enacted in 1980, bus regulatory reform legislation enacted in 1982, and other statutes that addressed the Commission's role in regulating surface transportation. These laws encourage carriers and shippers to take advantage of liberalized provisions, including new ways of obtaining approval of regulated activities and new ways of doing business together for the benefit of carriers, shippers, and the public at large.

Until January 1992, the Office was divided by mode into the Sections of Motor and Rail. In January 1992, the Office implemented a reorganization which replaced the two former sections with three new sections--the Section of Administration, the Section of Legal Analysis, and the Section of Legal Counsel. The Section of Administration is responsible for information management, word-processing and case support, management analyses, and training. The Section of Legal Analysis is responsible for legal research and analysis, review of existing regulations, and coordinating the Office's responses to congressional and public inquiries. The Section of Legal Counsel is responsible for the legal work associated with processing the cases concerning all modes of transportation that come before the Commission. The reorganization has permitted increased responsiveness to the public by having staff resources structured to adjust quickly to fluctuations in the workload.

Employment in the Office of Proceedings has decreased from 360 positions prior to the enactment of regulatory reform legislation to the 71 staff-years requested in FY 1994, a reduction of 80 percent.

This reduction in staff has been due in large measure to new flexibility offered by various legislative changes. While the laws themselves reduced the Commission's jurisdiction in many respects, administrative use of broad, discretionary powers also has simplified many areas of regulation and eliminated others found unnecessary, facilitating staff streamlining. Functional review continues to be important in improving procedures to increase staff efficiency. Pending Congressional approval, the unopposed motor carrier licensing function will be transferred to the Office of the Secretary in FY 1993.

MAJOR ACCOMPLISHMENTS IN FY 1992 - MOTOR

- Processed, within statutory deadlines, 17,138 applications for motor freight, bus, household goods freight forwarder, broker, and water carrier authority.
- Implemented a new safety fitness licensing policy that conforms with new legislation and coordinates with DOT's safety compliance programs.
- Prepared a notice of proposed rulemaking to revise the OP-1 licensing application form with a view toward simplifying applicant's filing requirements and automating Commission handling.
- Prepared an advance notice of proposed rulemaking to implement a new State insurance registration system to replace the bingo card system.
- Prepared a decision repealing rules for contracts of contract carriers.
- Prepared a notice of proposed rulemaking to prohibit nonoperating motor carriers from disavowing their contracts or filed rates as part of collection efforts without prior Commission approval.
- Prepared a policy statement addressing whether certain truck transportation within a single State is interstate or intrastate commerce.
- Processed, under expedited procedures, hundreds of requests to transfer operating authority and for exemption from Commission common control approval.
- Prepared decisions:
    - -- Concerning the proper conduct of the Commission's bar;
    - -- Distinguishing the jurisdiction of the Commission from that of the States to regulate trucking operations;
    - -- Determining which tariff applied to transportation of a shipper's goods;
    - -- Addressing petitions to reopen the Greyhound-Trailways merger proceeding; and
    - -- Permitting increased intrastate bus fares and intrastate bus exits where States failed

to act properly or refused to act on the proposals or in timely fashion.

MAJOR ACCOMPLISHMENTS IN FY 1992 - RAIL

- Continued the rule-by-rule analysis of rail-related regulations to identify those needing revision or deletion.

- Prepared a decision revising compliance procedures for the statutory rate cap on recyclable commodities that will allow the Commission to make cap ratios public as soon as the cost data become available.

- Prepared a notice of proposed rulemaking to vacate Commission prescription of bills of lading and livestock contracts employed by rail and water carriers.

- Prepared a decision adopting final rules allowing railroads to enter into bilateral agreements concerning car hire terms.

- Prepared a decision affirming technical revisions to feeder line regulations and the discontinuance of automatically rejecting applications when all or part of the line is encompassed in a pending abandonment case.

- Prepared a decision reissuing Commission procedures for rail exemption proceedings setting different time limits for filing petitions to stay and petitions to reopen exemptions granted, when circumstances warrant.

- Prepared a notice of proposed rulemaking and exemption to accomplish a 10-year phased deprescription of rates that rail carriers charge each other for the use of cars and to approve setting disputed charges through use of private or Commission arbitration.

- Prepared a decision to simplify procedures in informal proceedings before Commission employee boards.

- Participated with other offices in providing advice regarding a notice of proposed rulemaking and exemption from the railroad transportation contract filing requirements.

- Prepared a decision modifying regulations concerning the imposition of public-use conditions in rail abandonments to clarify that these conditions can be sought in all types of abandonment proceedings, to set time deadlines for filing, and to clarify when Commission jurisdiction to impose such conditions expires.

- Prepared a decision adopting rules exempting railroads from the anti-rebating provisions of the Interstate Commerce Act (the Elkins Act) in their pre-transportation, market-development activities.
- Prepared a notice of proposed rulemaking to exempt demurrage charges from all applicable regulation, but retaining jurisdiction over the first 24 hours of loading and the first 48 hours for unloading.
- Prepared numerous decisions in adversarial abandonments.
- Prepared a decision finding that carriers cannot preempt Commission jurisdiction to consider whether abandonment or discontinuance is necessary through private acquisition contract terms.
- Prepared a decision finding that a carrier providing service to a single shipper and lacking any right to serve other shippers, to publish tariffs, or to reach agreements with other carriers is not a common rail carrier subject to Commission jurisdiction.
- Prepared a decision awarding reparations of $6,295,197 with interest for shipments of spent nuclear fuel, shipping containers, and irradiated components moving in mandatory special train service between 1975 and 1978.
- Prepared a decision refusing to revoke an exemption allowing passenger service through residential areas.
- Prepared numerous decisions in labor/arbitration matters, including:
    - Refusing to impose labor protective conditions when a carrier's entire rail system was being abandoned and the carrier would cease to exist;
    - Directing a union to desist from using the arbitration procedures under section 3 of the Railway Labor Act and directing the dispute to be arbitrated under the Commission's Mendocino Coast procedures applicable to labor disputes arising from Commission-approved transactions;

  - -- Rejecting a union's request to impose labor-protective conditions in a control proceeding because the prior acquisition proceeding was the direct cause of any adverse labor effects;
  - -- Finding that an employee's separation agreement under attrition-type conditions did not violate labor protective conditions when the employee is compensated either for the employee's remaining working life or pursuant to a lump sum agreement and setting forth standards for carrier representations to employees; and
  - -- Affirming the Commission's authority under section 11341(a) to override collective bargaining agreements and to exempt approved consolidation transactions from provisions of the Railway Labor Act.

- Prepared a decision setting the amount of compensation that Amtrak must pay to Bay Colony Railroad Corporation for operating during the summer of 1991.

- Prepared a decision affirming an Administrative Law Judge's decision that both a per car rate and an annual fee charge could be combined to determine the threshold for jurisdiction to consider a maximum rate reasonableness complaint.

- Prepared a decision finding that a carrier's contracting for future car placement and supplies was not an unreasonable practice but requiring publication in tariff format of the carrier's rules.

- Prepared several decisions relating to the Trails Act, including:

  - -- Finding that the Commission retained jurisdiction over a line approved for abandonment several years previously because the carrier had not fully consummated abandonment even though some track had already been salvaged; and
  - -- Finding that once the Trails Act is invoked, any responsible party may conclude a trails agreement with the carrier--not just the initial party that requested trails use.

OBJECTIVES FOR FY 1993 AND FY 1994 - MOTOR

- Provide support for the Commission's continuing effort to reduce unnecessary regulation through rulemaking and exemption proceedings.
- Provide support for solving the undercharge problem.
- Complete rulemaking implementing a new single State insurance registration program.
- Complete rulemaking redefining expanded commercial zones and terminal areas.
- Timely process and complete all cases having statutory deadlines and continue to issue certificates of registration to foreign motor carriers.
- Timely process cases the Commission must consider but which have no statutory deadlines in such areas as:
  - -- Tariff applicability;
  - -- Interstate/intrastate nature of certain freight movements; and
  - -- Negotiated rates cases.

OBJECTIVES FOR FY 1993 AND FY 1994 - RAIL

- Continue efforts to implement the congressional intent set out in the Staggers Rail Act by refining existing procedures and eliminating unnecessary rules.
- Meet statutory deadlines and prepare timely decisions on cases not subject to statutory deadlines, including those involving:
  - -- Arbitration;
  - -- Abandonments;
  - -- Line construction;
  - -- Competitive access;
  - -- Feeder line applications;
  - -- Intercarrier compensation disputes;
  - -- Rate reasonableness;

  - -- New shortline and regional railroads;
  - -- State recertification; and
  - -- Line sales.

- Continue to explore possible improvements to the Office's effectiveness through any necessary refinements to the Office's new organizational structure as it relates to rail case processing and rail issue development.

BENEFITS TO THE PUBLIC

The Office, by preparing thousands of decisions within statutory timeframes, enables carriers and brokers to operate efficiently in the competitive transportation marketplace. Where competition is not an effective regulator, the Office prepares decisions offering substitute administrative protections. By assuring the public that applicants are operationally fit before issuing certificates permitting motor carrier transportation, the Office ensures the availability of competitive transportation services while protecting against the irresponsible operator.

WORKLOAD

Motor - In FY 1994, the Office of Proceedings will commit 12 staff-years to motor-related activities. Licensing work will consume 13 percent of these resources; rate and finance activity, 62 percent; and rulemakings, the balance.

A limited number of opposed licensing adjudications and appeals will continue to be handled in the Section of Legal Counsel. Operating rights appeals experienced a dramatic decrease in FY 1993 from FY 1992 levels. The reduction reflects the Commission's revised Safety Fitness Policy, which in FY 1992 removed one year term limitations for "unrated" carriers.

Non-rate complaints and other licensing-related investigations have been few and far between. Most of these cases now go to Administrative Law Judges for initial handling where they are either settled or resolved without the need for further proceedings. If efforts to revoke authority of unsafe carriers materialize, additional workload may result.

The rates area has expanded dramatically since the Maislin decision invalidated the Commission's negotiated rates policy. The number of cases has increased much more than the raw staff year numbers for FY 1992 through FY 1994 would suggest. In FY 1992, most of the cases were held in abeyance pending the outcome of the Maislin decision and pending development of decisional standards after Maislin, including standards for assessing the reasonableness of motor carrier rates. In

FY 1993, record building resumed in the pending cases and many new cases were filed. The number of decided cases in FY 1993 accelerated as records closed and more cases were available to decide. In FY 1994, we expect a steady flow of cases at levels substantially higher than prior years. We plan to cope with the increased docket by issuing decisions in lead cases where we have groups of cases with common issues. Nevertheless, a larger allocation of staff to rates decisions will be required.

Intrastate rate review and passenger exit cases remained at historically low levels and are handled routinely in standard format decisions.

All rate bureau agreements were completed by the end of FY 1991. Activity in this area should be limited to approving minor amendments to agreements.

The motor finance docket has been relatively quiet. Unopposed exemptions are handled with no problems. Pooling applications have diminished, now that Greyhound has rationalized its nationwide network. Pooling agreements are now so rare that pooling has been eliminated as a separate reporting category.

Rulemaking activity is expected to take on somewhat greater importance as motor carrier issues will likely require handling on a broad basis where possible. In addition, we will continue to respond to rulemaking requests from the public.

Rail - In FY 1994, 59 staff-years will be committed to rail work and will be apportioned as follows: approximately 69 percent for finance and antitrust activities and 31 percent for rate and rulemaking activities.

The workload is analyzed in terms of the number of decisions issued in four general areas: rates, finance, antitrust, and rulemakings. The rates area includes (but is not limited to): formal rate reasonableness, market dominance, competitive access, unreasonable practice complaints and investigations, and State certifications. The finance area covers, among other things, abandonments of rail lines and the discontinuance of service or trackage rights, shortline acquisitions, small-scale mergers and unifications (intermodal or intramodal), exemptions, appeals of arbitral awards, interpretations of labor protective conditions, Amtrak compensation cases, trackage rights compensation disputes, and petitions seeking declaratory orders. Antitrust cases include large-scale intermodal/intramodal mergers and consolidations, rate bureau proceedings, and pooling. Rulemakings cover all four areas and include class exemptions and proposals to amend existing regulations or create new ones.

The projected workload includes issuance of all decisions, both procedural and substantive.

Although few new rate cases have been filed in recent years and the number of old rate cases has been sharply reduced, the number of decisions issued in FY 1993 increased over the FY 1992 level. However, a slight decline in the number of decisions is projected for FY 1994.

Section 11501 enables individual States to regulate intrastate rail transportation if they establish procedures that conform with the policies and procedures of the Commission. In light of the 5-year cycle of State recertifications under section 11501, in FY 1989, the Commission, on its own motion, developed procedures to simplify the recertification process. Under the schedule for recertification, the number of decisions required to be issued in FY 1993 and FY 1994 should continue to drop.

Petitions seeking waiver of undercharges or the payment of reparations are now rare and, while a few rate-related minor exemptions can be expected, associated staff work is minimal.

Abandonment decisions are projected to increase slightly in FY 1993 and remain stable in FY 1994. Rail carriers have increased their profitability since the enactment of the Staggers Act in 1980 chiefly by increasing efficiency rather than by raising rates. Increased efficiency has come chiefly from greater traffic density resulting from previous abandonments and from increased sales to shortline operators. Increased efficiency and productivity have allowed railroads to become more profitable despite the fact that they are earning less revenue. The majority of the railroads still have not achieved revenue adequacy. The Commission's most recent annual analyses concluded that only one class I railroad, the Illinois Central Railroad Company, was revenue adequate for 1990 and 1991. The industry must, therefore, continue to increase profits to earn a return on capital invested in the industry sufficient to attract enough investment to provide adequate service to the public, although the increasing number of construction applications indicate increasing interest in rail investments. Opportunities for railroads to increase prices appear to be limited, since the rate freedom provided by the Congress in the Staggers Act has produced substantial price decreases rather than increases. Therefore, we project that the current level of abandonment activity will continue. This forecast is based, in part, on the continuing trucking inroads into the traditional railroad traffic base.

Minor merger/consolidation transactions decreased to about 70 decisions a year in FY 1992. As the recession wanes and credit becomes more readily available, line sales may increase again. As noted in the discussion on abandonments, increased activity in the rail finance area can be forecast with a high degree of confidence given the industry's need for increased profitability, the limits on the railroads' ability to raise prices, and the carriers' consistent practice over the past decade of increasing profits by increasing efficiency through either abandoning low-density lines or transferring them to low-cost, shortline operators. Although carriers in the Northeast and, to a lesser extent, in the South have already substantially restructured their systems, Western lines have not and, therefore, we are projecting a relatively stable activity in this area.

Section 10901 transactions (through application or exemption) are the other vehicle for line sales. These are sales to new corporate entities which become carriers upon the acquisition of the rail line, as opposed to "minor merger/consolidation transactions" discussed above, which refer to sales to existing carriers. Section 10901 transactions are expected to increase in FY 1993 then stabilize in FY 1994 at approximately 120 decisions in FY 1993 and FY 1994. As with minor sales transactions, the end of the recession could produce an even greater increase in the number of section 10901 transactions in the future. The labor issues surrounding such sales make any prediction as to how many the Commission will see in the future difficult. Section 10901 transactions also embrace applications for authority to construct new rail lines. In FY 1992, new construction filings remained at the same level as during the corresponding period in FY 1991, which is expected to continue through FY 1994.

Leases and trackage rights cases, another vehicle to transfer line operations, increased steadily in recent years before dropping off in FY 1991 to about 60 decisions. As noted above, line transfers are expected to continue, although the form that such transfers may take is not certain. Controversies on the degree of labor protection to be imposed in such transactions have required increased time; but, overall, we project the number of decisions to be issued will drop slightly through FY 1994.

Miscellaneous finance matters ("Other") include petitions for declaratory order or interpretation, Amtrak compensation cases, and review of arbitration decisions implementing Commission-imposed, labor-protective conditions. While the total number of cases in the "Finance/Other" category has decreased slightly from the FY 1991 level, arbitration review cases remain steady. These cases have almost uniformly proven to be complex and contentious. Based on experience during the five years since the Commission issued its decision in the Lace Curtain case, the issues are expected to continue to require considerable staff time.

The number of rail rate bureau proceedings has been minimal since implementation of Staggers Act changes was completed. There have been no new filings on this subject for quite some time, and none are projected through FY 1993. Nevertheless, staff will be available to handle any such cases if they are filed.

Workload projections for large merger cases are based on having one large merger case in both FY 1993 and FY 1994. In January 1993, an application in this category was filed by Kansas City Southern Industries, Inc., et al. to control Mid South Corporation. This action is expected to require staff time through the middle of FY 1994. In recent years, the Commission has handled, on an average, two such cases each year. Each case usually generates from 10 to 20 decisions.

The pooling and related case category continues to reflect minimal activity. Similar low levels are projected in the future.

Rulemaking activity was projected to increase in FY 1992 due to substantial revisions in the Code of Federal Regulations as it relates to railroads. That project has moved more slowly than expected; and increased workload is, therefore, projected for FY 1993 and FY 1994.

RESOURCES

Personnel Compensation and Benefits - Included in the requested $5,194,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Office of Proceedings staff participate in meetings, conferences, and workshops to offer information about ICC proceedings and regulations, and they participate in staff training at off-site locations. Estimated travel costs for FY 1994 are $5,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Licensing			
Permanent Freight	13,012	13,000	
Bus Entry	908	900	
Broker	3,209	2,800	
Water Carrier Case	9	10	
Certificates of Registration	518	500	
Operating Rights Appeals	1,802	150	
Licensing Adjudication and Appeals			75
Complaints, Investigations and Petitions for Declaratory Orders	17	10	15
Rates			
Complaints, Investigations and Rate-related Exemptions	401	425	450
Intrastate Bus Rates and Exit	2	4	4
Rate Bureau Investigations	4	3	3
Finance			
Mergers and Acquisitions	245	220	220
Transfers	647	700	
Finance Temporary Authority	54	50	50
Rulemakings	11	15	18

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Rail Workload			
Rates			
Complaints/Declaratory Orders/Investigations	37	55	50
Intrastate Cases/State Certifications	8	8	8
Minor Exemptions	2	4	4
Finance			
Abandonment Applications and Exemptions	279	300	300
Minor Mergers and Consolidations - Applications and Exemptions (including Intermodal)	69	65	70
Certificates under 10901 (Construction, Acquisitions, and Operations) - Applications and Exemptions	94	120	120
Leases and Trackage Rights - Applications and Exemptions	64	50	50
Other	11	10	10
Antitrust Matters			
Rate Bureau Proceedings	0	0	0
Large Intramodal Merger and Consolidation Applications	1	15	15
Pooling, Interlocking Directorates, and Other	1	5	5
Rulemakings	34	50	50

OFFICE OF PROCEEDINGS

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$6,095	$6,642	$5,194
Travel	5	5	5
Contracts	0	0	0
Other Expenses	1,275	1,290	1,081
TOTAL ESTIMATES	$7,375	$7,937	$6,280
Offsetting Collections	(1,820)	(2,526)	(2,555)
Appropriation	$5,555	$5,411	$3,725

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	34	31	9
Bus	4	4	2
Household Goods	1	1	1
Broker	1	1	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	40	37	12
RAIL			
Antitrust	1	4	4
Other	51	53	55
TOTAL RAIL PROGRAM	52	57	59
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	92	94	71

OFFICE OF HEARINGS

The FY 1994 requirement for the Office of Hearings is $477,000 and 5 staff-years. The Office of Hearings devotes its resources to the conduct of adjudicatory hearings pertaining to the rate, finance, and licensing activities of the surface transportation industry. Administrative Law Judges conduct oral hearings, as required; assist in discovery and case management; and issue decisions after examining and weighing the evidence presented.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Issued initial decisions and settled rail rate and other rail cases, including coal rate disputes assigned to the Office of Hearings.
- Assisted in the handling of non-petroleum pipeline rate cases.
- Assisted in the record development of an application looking toward the commencement of rail commuter operations in a five-county area surrounding Los Angeles, CA.
- Handled a motor-water rate case involving transportation between the United States mainland and Puerto Rico.
- Handled practitioner disciplinary proceedings.
- Assisted in the record development of a rail construction application involving the proposed transportation of coal from Montana and Wyoming.
- Assisted in the record development of rail trackage lease cases.
- Assisted in the handling of rail feeder line applications.
- Handled discovery issues arising in motor carrier-shipper rate reasonableness proceedings.
- Served as "settlement judge" in formal rail cases.
- Decided a rail rate proceeding involving the transportation of radioactive materials.
- Resolved discovery disputes arising in virtually all rail and non-rail formal proceedings.

- Issued a decision involving alleged tariff tampering, following which the parties settled.

- Continued oversight of employee "make whole" provisions of a railroad consolidation matter.

- Issued a decision in an air-motor passenger franchise dispute involving asserted intrastate transportation.

- Conducted field hearings at locations in California, Georgia, Idaho, Illinois, Montana, and Nebraska.

OBJECTIVES FOR FY 1993 AND FY 1994

- Complete evidentiary record for rail rate, rail abandonment, rail merger, and other rail cases assigned for hearing. Issue decisions in proceedings not reserved for decision by the Commission.

- Handle discovery problems in cases requiring an experienced adjudicator and obtain settlement of disputes without protracted litigation.

- Handle discovery in negotiated rates and undercharge cases before the Commission.

- Handle any motor, water, pipeline, broker, or other non-rail cases assigned to the Office.

- Provide "settlement judges" to assist in the resolution of disputes between litigants.

BENEFITS TO THE PUBLIC

Hearings, associated with complex or intensely disputed cases, provide the various competing interests with a forum in which they may delineate and focus on the issues. In a hearing, witnesses may be confronted; evidence may be weighed; and disputed facts may be resolved, enabling the Commission to render decisions based on a superior record. Hearings also provide a focal point for controversial proceedings. The public gains an understanding of issues and an appreciation of the position of adversary parties that otherwise does not occur. The pretrial process also provides the shipping public with a forum for settlement of transportation disputes without protracted litigation.

The Office of Hearings is not limited to the use of an oral question-and-answer format in case processing. Utilization of "special" procedures is a standard practice. Special procedures are a combination of oral and written procedures employed on an as-needed basis. A complex rate case requires multiple telephone conferences as the parties work their way through discovery and toward the assemblage of relevant facts. These conferences can be either informal or formal. In addition, there are face-to-face discovery hearings, docket management or case planning, and testimony before an Administrative Law Judge.

Case planning is arranged to meet the individual needs of litigants. Often this is accomplished without issuance of formal orders. In the majority of instances, parties will conform to Office of Hearings' procedural guidance without a formal adjudication. This informal process is speedy but not simple. The process is intensive and requires knowledge of all aspects of Commission procedure and case law. The function reduces litigation expense and is important to the transportation public appearing before the Commission.

Oral hearings can be a desirable and inexpensive method of case processing in circumstances where extensive formal discovery and multiple written evidentiary submissions are otherwise the alternative method of case processing.

Additionally, the hearing process provides encouragement for opposing parties to negotiate. With the aid of an Administrative Law Judge, negotiations can lead to the resolution of conflicts, thus eliminating the need for a protracted formal proceeding.

WORKLOAD

A complex docket of surface transportation cases will be handled by the Office of Hearings in FY 1994. Hearings or case management will be conducted in proceedings where material facts are in controversy and information is best elicited through discovery, including cross-examination of expert or hostile witnesses. Such cases may entail extensive pretrial interrogatories, document production, and the motion practice that accompanies such discovery. Case management and recordbuilding in such proceedings by an Administrative Law Judge are essential.

Because the Commission seeks to increase its case processing efficiency, the Office will be required to move cases through the preliminary process of recordbuilding and initial decision and to assist in discovery in those cases where the Commission will make the sole decision.

As the Commission resumes the processing of the pending undercharge rates cases, the Office will perform the discovery in those proceedings in FY 1993. While the FY 1993 motor rate workload reflects a reasonable estimate of referred cases, the Office cannot predict the number of negotiated rates/undercharge cases which will involve the discovery effort in FY 1994.

The FY 1994 staff-year requirement of 5 will allow Administrative Law Judges and supporting staff to handle the stable Commission workload in FY 1994.

RESOURCES

Personnel Compensation and Benefits - The Office of Hearings requires $380,000 to support 5 staff-years in FY 1994. In addition to direct salary costs, this amount includes Government contributions to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - These expenses are directly related to the number, type, location, and length of hearings. The FY 1994 estimated travel costs are $5,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Rate, Puerto Rico Motor, Motor Practitioner Disciplinary, Motor Broker Licensing, and Miscellaneous Motor Cases	25	60	21
Rail, Pipeline, and Other Non-Motor Rate Cases	12	13	13
Rail Finance Cases	21	20	20

OFFICE OF HEARINGS

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$346	$368	$380
Travel	6	5	5
Contracts	0	0	0
Other Expenses	86	89	92
	=======	=======	=======
TOTAL ESTIMATES	$438	$462	$477
Offsetting Collections	0	0	0
Appropriation	$438	$462	$477

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	1	1	1
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	1	1	1
RAIL			
Antitrust	0	0	0
Other	4	4	4
TOTAL RAIL PROGRAM	4	4	4
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
	=======	=======	=======
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	5	5	5

OFFICE OF PUBLIC ASSISTANCE

The FY 1994 request for the Office of Public Assistance is $1,203,000 and 12 staff years.

The Office advises small and minority-owned businesses, entrepreneurs, shippers, governmental bodies, and the public of Commission policies, rules, programs, and proceedings that affect their interests. The Office aids the participation of these diverse groups in rail abandonments, rail exemptions, motor licensing proceedings, motor undercharge issues, and other matters. It also maintains cooperative relations with State and local governments. In addition, the Office contributes to the development of complete records in agency proceedings and advises the Commission of changing public needs and concerns relating to the regulated interstate surface transportation industry.

The staff is based at headquarters, but field visits are made when a request for Commission action filed by a carrier generates widespread public interest and there are requests for special assistance concerning the matter.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Counseled numerous shippers, communities, and interested public on rail abandonment regulations and procedures and facilitated their participation in two oral hearings, at public hearings, and in numerous modified procedure cases before the Commission; advised these groups on negotiating with railroads to continue service and/or methods of attracting new shortline operators as an alternative to loss of rail service.

- Assisted the public and shippers on a broad range of issues and procedures, including rail exemptions, feeder line acquisitions, financial assistance, discovery rules, and public use conditions.

- Furnished extensive counseling to many hundreds of inquirers regarding motor carrier undercharge claims. In connection with this function, worked closely with other Commission offices to assure accuracy of information being disseminated, which included ongoing revisions to the Office's "Information Package on Undercharge Claims."

- Acted as the Commission's central base for dissemination of information and advice about applying for all kinds of non-rail permanent operating authorities.

- Reviewed 264 draft motor filings prior to formal submission to the Commission; assisted 1,196 participants in rail Commission proceedings; and responded to 22,115 inquiries from the public regarding Commission practices and policies.

- Offered extensive suggestions and recommendations to the Commission concerning revision of the current nonrail application form and accompanying instructions.

- Participated on a task force comprised of various decisionmaking segments of the Commission and representatives of the Department of Transportation to develop revisions to the safety policies of both agencies aimed at fostering continued eased entry and operations by motor carriers in compliance with all Federal safety regulations.

- Conducted survey and issued publication, "1991 Minority and Female Motor Carriers Listing."

- Revised the publication, "So You Want To Start A Small Railroad."

- Updated the publication, "Overview of DOT and State Regulatory Agencies."

- Made presentations at a congressional rail seminar, before officials of the American Short Line Railroad Association, the National Association of Independent Insurers, and before three other small business groups. Also furnished extensive counseling and written materials for use of a Commission field staff officer in speaking on lease and interchange regulations.

- Maintained communication with the National Association of Regulatory Utility Commissioners, State transportation agencies, the National Governors' Association, the American Association of State Highway and Transportation Officials, and the National Conference of State Legislators regarding uniform State transportation policies, Federal transportation preemption issues, and other matters of mutual concern.

- Assisted three States in filing for recertification and one State in filing for decertification to regulate intrastate rail rates, and distributed to all States copies of Commission decisions having an impact on their respective areas of concern.

OBJECTIVES FOR FY 1993 AND FY 1994

- Provide advice to the Commission on proposed policy changes and legislation having potential impact on small businesses, small shippers, State and local governments, and consumers.
- Provide assistance to communities, small railroads, special groups, and State officials concerning Commission practices, procedures, and regulations relating to rail, bus, and motor freight proceedings.
- Publish new and/or revised handouts, as needed, that furnish guidance on rail abandonments, small railroad application requirements, and motor carrier regulations, procedures, and policies.
- Maintain the Commission's minority- and female-owned motor carrier listing.
- Promote harmonious State and community relations in areas of Commission regulation.
- Advise State regulatory bodies of Commission actions impacting their areas of responsibility and assist States in obtaining recertification to regulate intrastate rail rates.
- Review applications, petitions, appeals, and other filings upon request from new or small carriers, small shippers, small communities, and State bodies.

BENEFITS TO THE PUBLIC

By providing accurate information and counseling to affected groups and persons unfamiliar with Commission practices and procedures, the Office of Public Assistance facilitates effective public participation in Commission proceedings and helps ensure that Commission decisions are based upon a full and complete record. Through coordination with State and community representatives, the Office assists in ensuring full consideration of public impact in the Commission's decisionmaking process; and, by explaining and facilitating agency actions, it fosters an effective Federal/State relationship. Additionally, as the Commission's public ear, the Office identifies changing patterns or potential problem areas, brings those issues to the attention of the Commission, and thereby ensures that actions needed to address the ever changing concerns of the public are undertaken swiftly.

WORKLOAD

The primary objective of the Office of Public Assistance is to aid consumer groups, small communities, small businesses, State regulatory bodies, shippers, and individuals concerned with surface transportation in dealing with the Commission. Many of the inquiries the Office handles are time consuming, involving rail abandonments, acquisition and operation of new shortline railroads, motor carrier negotiated rates cases, and interpretations of motor and rail various statutes and Commission regulations.

To ensure development of a complete record, the Office provides assistance to States, communities, congressional offices, and members of the public who are parties in railroad proceedings. During FY 1992, Office staff provided legal counsel in several proceedings handled under modified procedures, and at two oral hearings and at public hearings. Also, the publication explaining rail application and exemption filing rules and procedures was revised.

In FY 1992, the Office's assistance in Commission rail proceedings workload remained somewhat steady. The number of requests for counseling and/or individual assistance in the rail area decreased in FY 1992, back to the FY 1990 level. The reason for the decrease is primarily attributable to resolution of the Guilford Transportation Industries' employee protection issue. No significant changes in volume are anticipated in these areas through FY 1994.

The volume of both rail and motor-related mailings to State regulatory bodies was consistent between FY 1991 and FY 1992 and should remain at that level through FY 1994.

During FY 1992 the motor counseling and individual assistance workload showed a slight but steady increase over past years. Factors contributing to the increased workload in this area are the negotiated rates issue and the continuing decline of knowledgeable staff in other Commission offices who are available to respond to the kinds of public requests handled by this Office. As the Commission's entry regulations have eased, the number of inquiries characterized as general have decreased. Overall, the nature of the motor inquiries has become much more substantive, requiring more technical responses. Based on the volume of repetitive inquiries now responded to in the Office of Public Assistance that could be handled by the proposed automated response system, a decrease in this workload is projected from 19,561 in FY 1992 to 18,500 during FY 1993 and FY 1994.

RESOURCES

Personnel Compensation and Benefits - The Office of Public Assistance will require $1,029,000 to support 12 staff years in FY 1994. In addition to direct salary costs, this amount includes the Government's contributions to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Travel funds are used to assist in developing complete records in rail proceedings scheduled for oral hearings, and to participate in educational outreach programs and selected speech presentations. Continued involvement in functions requiring travel is critical to the mission of this Office. Travel costs for FY 1994 are estimated at $7,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Assist Participants in Commission Proceedings	264	275	275
Counseling/Individual Public Assistance	19,561	18,500	18,500
Educational/Outreach Projects	12	9	9
State/Local Liaison[1] Activities	20	17	17
Rail Workload			
Assist Participants in Commission Proceedings	1,196	1,000	1,000
Counseling/Individual Public Assistance	2,554	2,500	2,500
Educational/Outreach Projects	7	7	7
State/Local Liaison[1] Activities	34	33	33

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[1] The recordkeeping method was amended in FY 1992 to reflect the number of projects versus the number of mailings involved in each project. Under the former method, in FY 1992 the total for rail would have been 3,500 and for motor 800.

OFFICE OF PUBLIC ASSISTANCE

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$912	$975	$1,029
Travel	2	5	7
Contracts	0	0	0
Other Expenses	156	161	167
TOTAL ESTIMATES	$1,070	$1,141	$1,203
Offsetting Collections	0	0	0
Appropriation	$1,070	$1,141	$1,203

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	4	4	4
Bus	1	1	1
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	5	5	5
RAIL			
Antitrust	0	0	0
Other	7	7	7
TOTAL RAIL PROGRAM	7	7	7
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	12	12	12

OFFICE OF ECONOMICS

The FY 1994 request for the Office of Economics is $7,056,000 and 71 staff-years.

The Commission's decisionmaking process is based in large part on information about the regulated carriers--including costs of operation, market position, and financial condition--and on the financial and economic impact of the Commission's policies and practices. The Office of Economics supports this decisionmaking process by providing analyses of cost, economic, financial, and engineering evidence in rate and finance cases; costing, economic, financial, and accounting expertise in rulemakings; and uniform financial and statistical data on the carriers' current performance. The Office further ensures that energy and environmental concerns are assessed adequately for the Commission's decisionmaking.

The support which the Office provides to the Commission and other offices is dependent on the accounting and reporting systems prescribed by the Commission and on financial, economic, and cost evidence submitted in case records. Its functions ensure the accuracy and reliability of carrier data coming from these systems and help form a sound basis for decisionmaking. These functions include developing and updating accounting and reporting systems, compiling carrier and industry data, evaluating rail costing methodologies, developing cost information, determining the value of rail property and rail revenue adequacy, performing various costing projects and studies, and conducting audits of Class I railroads, which focus on specific operating expenses and related statistics.

The Office also develops and conducts evaluations and special studies of the economic impacts of various regulations and monitors ongoing transportation developments, such as the growth of shortline railroads, the potential for rail car shortages, etc. This includes monitoring the effects of regulatory reforms on rail, truck, and bus transportation. The Office develops and maintains economic and statistical tools for these purposes and provides liaison with other Government agencies, industries, and organizations on major transportation issues.

Lastly, the Office fulfills the statutory responsibilities of the railroad contract rate advisory service mandated by the Staggers Rail Act of 1980 and the statutory responsibilities assigned to the Rail Services Planning Office under the Regional Rail Reorganization Act of 1973 and the Railroad Revitalization and Regulatory Reform Act of 1976.

The various functions of the Office are performed by six sections: Audit and Accounting, Energy and Environment, Financial Analysis, Rail Costing, Research and Analysis, and Rail Services Planning.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Provided cost, environmental, economic, financial, and engineering analyses for rail rates, acquisitions/mergers, abandonments, and construction cases.

- Developed notices of proposed rulemakings and/or final decisions on various rulemakings, including rail car demurrage, update and clarification of the abandonment regulations, the quarterly Rail Cost Adjustment Factor, the annual Cost-of-Capital and Revenue Adequacy Determinations, and the annual cost recovery percentage.

- Prepared a decision proposing major reductions in accounting and reporting burden of motor carriers of property, including possible elimination of the Uniform System of Accounts, raising the reporting threshold for Class I and II carriers, eliminating quarterly reporting, and reducing the amount of data filed in annual reports.

- Continued research on the comprehensive review of the Uniform Railroad Costing System.

- Continued to analyze alternative methodologies and develop simplified guidelines for use in determining maximum rate reasonableness in cases involving small rail shippers and non-coal rail traffic.

- Completed the proceeding adopting further refinements to the calculation of the productivity adjustment to the quarterly Rail Cost Adjustment Factor.

- Completed the proceedings on raising the revenue threshold for Class I railroads and on reducing the reporting requirements for these companies.

- Completed 24 rail cost projects and studies.

- Analyzed each Class I railroad annual report for compliance with Commission rules and provided 94 interpretations of accounting and reporting systems.

- Compiled carrier data to produce 32 reports of transport statistics (14 motor, 18 rail).

- Completed the review of workpapers and audit reports prepared by public accountants on each Class I railroad.

- Updated an analysis of trends in rail rates since the Staggers Rail Act of 1980.

- Completed the proceeding assessing the merits of converting to the metric system of measurement for forms and reports filed with the Commission.

- Prepared 317 environmental assessments/documents, including reviews of 14 construction cases.

- Initiated, completed, or continued a number of studies and analyses to determine the impact of legislative and Commission actions on the transportation industry. These included a retrospective review of the motor freight industry since deregulation, an assessment of the proposal to exempt rail industrial activity from the Elkins Act, a review of the economic issues regarding rail Certificates of Transportation, and an evaluation of the issues involved in the Commission's investigation of motor carrier collective ratemaking and related practices.

- Published a pamphlet entitled Guide to the Interstate Commerce Commission's Environmental Rules to assist the public in understanding our environmental review process and to facilitate compliance with revised environmental rules.

- Refined and maintained a rail contract rate database by entering 15,200 rail contract summaries. This database provides current information on railroad contracts for use internally and in responding to congressional and public inquiries.

- Provided annual update of railroad system diagram maps to the Federal Railroad Administration (FRA) for use in their State-assistance funding program.

- Administered the Commission's Waybill Sample Program, which included processing waybill data requests and compiling waybill data.

- Carried out a variety of public assistance activities on contract rates, abandonments, and shortline acquisitions.

OBJECTIVES FOR FY 1993 AND FY 1994

- Provide costing, environmental, economic, financial, and engineering staff support for motor and rail cases and rulemakings.

- Provide economic analyses for several rulemakings included as part of the Commission's motor and rail regulatory review program. These include a proposal to expand commercial zones, exemption of motor vehicles and other rail commodities, reduction in the accounting and reporting requirements for motor carriers, an exemption for many rail consolidations, and a class exemption for rail line construction.
- Complete the proceeding proposing elimination of the motor carrier Uniform System of Accounts, raising the reporting threshold for Class I and II carriers, eliminating quarterly reporting, and reducing the data filed in annual reports.
- Complete the research to improve the utility of the Rail Cost Adjustment Factor and the Uniform Railroad Costing System methodologies.
- Complete the development of simplified guidelines for use in maximum rate cases involving small shippers and non-coal traffic.
- Issue amendments to the accounting and reporting rules to keep the railroad systems current with the Commission's data needs and generally accepted accounting principles.
- Initiate a comprehensive review of the Uniform System of Accounts for Railroad Companies.
- Perform statutorily required calculations involving the rail cost adjustment factor and the recyclables ratio for use in rail costing activities of all Class I railroads.
- Develop the annual cost of capital and revenue adequacy determinations for railroads.
- Develop the necessary cost-of-service information for use in measuring reasonableness of freight rates.
- Compile and publish transport statistics for railroads and motor carriers.
- Complete the proceeding on refinements to the calculation of the productivity adjustment to the quarterly Rail Cost Adjustment Factor.
- Continue to consult with the Advisory Council on Historic Preservation regarding an approach that will

enable the Commission to complete the historic preservation process in a productive and timely manner.

- Undertake and complete the analyses, studies, reports, and monitoring of various rail activities as directed by the Commission and Congress, e.g., identification of rail traffic and/or operations which may be exempted from regulation; trends in rail rates; issuance of a proposal to repeal certain evidentiary requirements regarding compensated directed service, commuter subsidies and regional rail subsidies; and an update on the status and prospects of shortline railroads established since the Staggers Rail Act of 1980.

- Carry out the functions of the Contract Advisory Service, including maintaining a contract-rate computer database and responding to inquiries on contract rates, shortline railroads, and abandonments.

- Administer the Waybill Sample Program.

BENEFITS TO THE PUBLIC

In the rulemaking area, much of the work of the Office is aimed at establishing standards and criteria used in making decisions regarding the reasonableness of rates and the financial condition of the regulated carriers. For casework, the various analyses are performed to verify evidence and ensure that decisions are based on sound information. These analyses include determining whether proposed rate changes are reasonable based on carrier costs and other factors.

These analyses also include an assessment of the impact of Commission actions on the human environment. The staff identifies probable effects of a proposed action on public health and safety, air quality, noise levels, water quality, and land use; resolves issues which involve wildlife, historic preservation, and energy conservation; and recommends measures to mitigate adverse environmental impacts.

Analyses of self-insurance applications from motor carriers are performed to determine if the companies are financially able to self-insure.

Financial and statistical information reported by the regulated carriers is maintained in a public reference room and made available to the public and the industry. Also, beginning in FY 1990, both the software and annual data for costing of particular traffic movements using the recently adopted Uniform Railroad Costing System have been made available to shippers and other interested parties for either mainframe or microcomputer applications.

In addition, the Office provides technical and planning assistance to community groups faced with loss of rail service due to abandonment. It also provides guidance and assistance in studying the economic feasibility of operating shortline railroads. All inquiries from shippers, carriers, Government agencies, or members of the public regarding rail contract rates are handled by this Office. Finally, this Office handles all public requests for railroad waybill data.

WORKLOAD

The Office of Economics divides its work into the following general activities: case support, rulemakings, research and studies, public assistance, and maintaining data for decision-making and analyses.

Case support consists of performing analyses for rate and finance proceedings related to specific carriers involved in the cases. In recent years, motor carrier cases have dealt exclusively with general rate increases for property carriers and analysis of self-insurance applications.

The number of general rate increase filings has typically been limited to one or two rounds annually since passage of the Motor Carrier Act of 1980 and has usually required little staff time. During FY 1992, there was a single round of general rate increase filings. The workload projections for FY 1993 and FY 1994 forecast only a single round of general rate increases for general freight motor carriers.

Rail case support deals with rate cases, in which market dominance is determined and the maximum rate guidelines are applied, and finance cases where cost, economic, environmental, financial, and engineering analyses associated with abandonments, line acquisitions, construction of new lines, and mergers are required. Rail coal and non-coal maximum rate cases and competitive access proceedings are very difficult and complex requiring a major commitment of resources.

Abandonment applications also tend to require more careful analysis, as the focus in recent years has shifted to more marginal lines which are highly contested. The number of cases requiring analysis is expected to continue at the present level of activity through FY 1994. Other rail cases (rate reasonableness, recyclables, switching charges, etc.) are projected to decrease somewhat from present levels, as current cases are completed.

The environmental analysis case support workload includes construction, abandonments, revision of the environmental and energy rules, and assessment of possible programmatic approaches in satisfying the requirements of the National Historic

Preservation Act. This overall environmental workload is expected to remain at present levels in FY 1993 and FY 1994. Twenty construction cases are under active environmental review; an additional 24 are at the inquiry stage. We anticipate that most of these will be in various stages of environmental review during FY 1993 and/or FY 1994. These cases are very staff intensive and may require some shifting of resources within the Office.

Rulemaking activity focuses on establishing guidelines or standards on railroad costing, economic, financial, and environmental issues. Several actions are required by statute, including the annual cost recovery percentage calculation, the quarterly rail cost adjustment index, the standard for rates on nonferrous recyclables, and the annual Cost-of-Capital and Revenue Adequacy Determinations.

In addition, projects are underway to further improve and refine the procedures followed in calculating the rail cost adjustment factor, including an adjustment for productivity. The Office also is developing a cost-effective methodology for judging maximum rate reasonableness in rail proceedings involving small shippers. The proposed methodology will be issued for public comment following rulemaking procedures. Overall, the rail rulemaking workload is expected to remain relatively constant over the next two fiscal years.

In September 1989, the Commission adopted the Uniform Railroad Costing System (URCS) for general purpose costing. This costing methodology had been endorsed by the Railroad Accounting Principles Board as a significant improvement over its predecessor, Rail Form A. Its adoption represented the last rulemaking needed to implement the principles established by the Board in its September 1987 Final Report.

The Board further recommended that URCS be reviewed every three years. Shortly after URCS was adopted, a proceeding was initiated setting a timetable for complete review of, and additional research into, various aspects of the system. At present, the stability of the current URCS equations is being tested; and alternative equation forms to improve variability estimates are being evaluated.

Comments on improvements to URCS were received from interested parties in August 1992. During FY 1993, these comments will be analyzed, along with the results of our continuing research. This is a long-term effort. Our preliminary findings regarding proposed refinements to URCS are scheduled for mid-1993.

The Office's efforts in maintaining data for decisionmaking and analysis cover a variety of functions, including audits of each Class I railroad, interpretations of the accounting and reporting systems, collection and publication of industry data, depreciation studies and property database updates, various cost and financial studies and projects, and analyses of financial condition. The bulk of this effort is devoted to rail workload and is expected to continue at substantially the same level through FY 1993.

For motor carriers, only a small number of staff-years are devoted to maintaining data. The accounting and reporting requirements for motor carriers of property is the subject of a Commission proceeding to reevaluate the reporting thresholds, the need for quarterly reporting, elimination of the Uniform System of Accounts, and the level of annual reporting. This proceeding is targeted for completion in FY 1993.

Depreciation activities include reviewing studies prepared by railroads for the purpose of prescribing depreciation rates for various property and equipment accounts, as well as maintaining the net investment base for annual revenue adequacy determinations. Both activities are required by statute (49 U.S.C. 11143 and 10781 through 10786, respectively).

RESOURCES

Personnel Compensation and Benefits - The Office of Economics will require $5,555,000 in personnel compensation and benefits to support 71 staff-years in FY 1994. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - For FY 1994, the Office will require $70,000 for site visits and other official travel. This is primarily for (1) on-site visits to railroads to finalize audit procedures and to review public accountants' workpapers, and (2) travel by the Section of Energy and Environment for physical inspection of proposed construction sites and for conducting independent evaluation and verification of data provided by parties to proceedings. This budget request is the same as that requested for FY 1993.

Contracts - A total of $302,000 is requested to contract for various data, studies, and analyses in FY 1994. A discussion of individual projects follows:

- Rail Waybill Sample - $190,000 - The Commission's waybill sample is the basic source of rail transportation data. The waybill data contract (a five-year contract) involves the annual processing of railroad waybill data in order to develop the Commission's Master Waybill Sample, as well as certain data subsets, files, and statistical reports for the Commission and the public. The goal of the waybill sample program is to establish an independent and statistically valid rail database for use by the Commission in carrying out its statutory responsibilities, conducting in-house analyses, and for use by participants in adjudicatory proceedings, Federal and State agencies, and other parties involved in substantive research projects and studies. The existing contract was awarded in January 1989 for the processing of the waybill sample for calendar years 1989-1993. Since this contract is up for rebidding in FY 1993, the estimated cost in FY 1994 is based on an increase of 5 percent over the FY 1993 cost, consistent with escalation provisions in past contracts. The Federal Railroad Administration shares the total cost of this contract. The estimate above represents the Commission's share of the expense.

- Supplemental Environmental Expertise - $100,000 - These contract funds will be used to engage consultants to supplement the staff's analytical capability for a variety of environmental purposes. Such assistance is necessary because the small environmental staff does not always have the specialized, technical expertise necessary for particular projects. Also, the extremely large number of rail construction applications that will be processed in FY 1993 and FY 1994 will require substantial expenditures in this area. Typical specialized expertise for which these funds have been and will be used are in the fields of biology; historic and cultural preservation; hazardous waste; engineering; and air, noise, and water quality.

- Monitoring of Surcharges and Joint Rate Cancellations - $12,000 - This contract is necessitated by the requirement that the Commission report to Congress annually on rail surcharges and joint rate cancellations. Tariff filings by railroads are monitored, and a summary of these activities is prepared by the contractor.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Case Cost Analyses	13	10	10
Case Financial Analyses	20	17	17
Analyses of Carriers' Financial Condition	18	18	18
Cost Projects and Studies	1	1	1
Economic Studies	3	3	2
Public Assistance	100	100	100
Accounting/Reporting Projects	6	3	2
Accounting/Reporting Interpretations	107	50	50
Transport Statistics and Other Reports	14	14	14
Rail Workload			
Case Cost Analyses	32	30	30
Case Environmental Analyses	317	300	300
Case Financial Analyses	47	40	40
Case Engineering Analyses	40	35	35
Analyses of Carriers' Financial Condition	11	10	10
Cost Projects and Studies	24	22	22
Economic Studies	3	3	3
Depreciation Analyses	30	25	20
Accounting/Reporting Projects	4	6	6
Accounting/Reporting Interpretations	94	85	85
Public Assistance	390	380	380
Transport Statistics and Other Reports	18	18	18
Audits	28	28	28

OFFICE OF ECONOMICS

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$5,195	$5,528	$5,555
Travel	45	70	70
Contracts	185	293	302
Other Expenses	1,073	1,098	1,129
TOTAL ESTIMATES	$6,498	$6,989	$7,056
Offsetting Collections	(259)	(365)	(365)
Appropriation	$6,239	$6,624	$6,691

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	9	7	6
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	9	7	6
RAIL			
Antitrust	0	0	0
Other	64	66	65
TOTAL RAIL PROGRAM	64	66	65
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	73	73	71

OFFICE OF TARIFFS

The FY 1994 request for the Office of Tariffs is $4,981,000 and 62 staff-years.

The Office of Tariffs' responsibilities relate to the statutory requirements that regulated carriers file their tariffs and various other pricing documents with the Commission, and that these documents be made available to the public, be properly applied by carriers, and be properly interpreted when disputes concerning the application of tariffs are brought to the Commission. The Office also serves the Commission and its staff as interpreters of carriers' tariff provisions. Through an informal process administered by the Office, carriers and their customers--the shipping public--can settle tariff interpretation disputes without the necessity of initiating formal proceedings. Rate and tariff analysis support is provided to other offices in the Commission, and staff serves as expert witnesses in court proceedings involving rate and tariff matters. Through its employee boards, the Office acts initially for the Commission on requests for suspension and investigation of tariff provisions and petitions for relief from Commission tariff regulations and/or various statutory requirements dealing with provisions published in carriers' tariffs.

The Office is comprised of the Director's Office, two sections, and three boards. The Section of Tariff Maintenance and Compliance is responsible for tariff examination, maintenance of the tariff library, and related activities. The Section of Rates and Informal Cases interprets rate and tariff provisions. The Suspension/Special Permission Board is an employee board, which handles protests against proposed rates and other tariff provisions, requests for confidential information from rail contracts under discovery procedures, and requests for relief from the tariff publishing regulations. The Special Docket Board and the Released Rates Board are also employee boards, which act initially for the Commission on matters involving carrier rate and tariff provisions.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Processed, reviewed, and filed over 1.5 million tariffs and related documents; examined 77,081 rail contracts, amendments, and summaries for compliance with statutory and regulatory requirements; and criticized or rejected 15,090 of these documents.

- Answered 23,703 inquiries from the shipping public, carriers, Government agencies, and other parties concerning carriers' tariffs, rail contracts, or related matters.

- Issued 7,713 informal interpretations of regulated carriers' tariff provisions.
- Provided rate and tariff case analysis support for 265 cases (Commission enforcement actions and formal proceedings).
- Handled 859 special dockets, released rate applications, and informal complaints.
- Disposed of 104 applications for special permission, proposed rate investigation and suspension cases, and petitions for reconsideration of suspension and investigation matters.
- Responded to 337 requests for certified copies of carriers' tariffs for use in court proceedings.
- Participated in 94 special projects and rulemakings.
- Initiated action to convert the official tariff library from printed documents to an electronic document imaging system.
- Finalized regulations to improve the informational value of confidential rail contracts and eliminate inactive contracts from the file.
- Finalized regulations to eliminate the requirement that the U.S. Postal Service routinely file, and the Commission process and store, copies of contracts between the Postal Service and common carriers for the transportation of mail.
- Finalized regulatory action to eliminate the requirement that the Commission maintain an historical file of tariffs that also are retained by the Federal Maritime Commission.
- Proposed regulatory changes to exempt carriers from the requirement to file confidential rail contracts.
- Continued to facilitate railroad efforts to file tariffs through electronic means as authorized in Ex Parte 444, Electronic Filing of Tariffs.

OBJECTIVES FOR FY 1993 AND FY 1994

- Process, review, and file over 1.6 million tariffs and related documents in FY 1993 and over 1.5 million in FY 1994, including the examination of 75,000 rail contracts, amendments, and summaries for compliance with statutory and regulatory requirements in FY 1993 and 38,000 rail contracts in FY 1994.

- Examine 50,200 tariffs in FY 1993 and 113,300 in FY 1994 for violations of statutory provisions, regulatory requirements, and Commission decisions, in response to complaints from the public and on our own motion.
- Respond to 22,000 inquiries in FY 1993 and FY 1994 from the public, carriers, or other interested parties on filed tariffs, rail contracts, or related documents.
- Respond to approximately 7,700 requests for informal interpretation of regulated carriers' tariff provisions in FY 1993, and respond to 7,500 such requests in FY 1994.
- Provide rate and tariff analysis support for 385 Commission proceedings in FY 1993 and FY 1994.
- Process approximately 1,000 special dockets, released rate applications, and informal complaints in FY 1993 and 950 in FY 1994.
- Respond to approximately 120 requests in FY 1993 and approximately 130 in FY 1994 for special permission applications, rate investigation and suspension of proposed carrier tariff provisions, and rail contract discovery or review of contract provisions.
- Respond to 600 requests for certified copies of carriers' tariffs for use in court proceedings.
- Participate in 90 special projects and rulemakings in FY 1993, and 100 in FY 1994.
- Enhance the Commission's review of tariffs to better ensure that unlawful tariffs are detected and prevented from becoming effective.
- Evaluate the feasibility of developing and implementing a standardized, comprehensive data processing system for the receipt, analysis, storage, and display of tariffs and other pricing documents; and begin the implementation of such a system, if it is shown to be feasible.
- Implement an electronic document imaging system to replace the continued retention of printed official tariff documents.
- Continue to facilitate the electronic exchange of tariff data between shippers/receivers of freight and carriers

through implementation of Ex Parte 444, Electronic Filing of Tariffs.

BENEFITS TO THE PUBLIC

The Office maintains the official tariff library, as well as a library containing rail contract summaries and other pricing documents, for the use of the public and Commission staff. These libraries contain all the regulated carriers' tariffs and related pricing documents. Tariff users also benefit from the use of special tariff authorities, which allow a waiver of tariff publishing regulations when justified by the needs of the marketplace. Through its investigation and suspension process, the Office initially determines whether proposed tariff provisions violate the Interstate Commerce Act. The rail contract discovery process assists shippers in determining the effect of competitors' rail contracts. The Office also provides an informal opinion process to resolve disputes over tariff rates and provisions without initiating formal Commission proceedings.

WORKLOAD

In FY 1994, the Office will use 62 staff-years in performing its functions. Tariff maintenance and review will consume 73 percent of the staff resources. Rail contract maintenance and examination will require 2 percent. An additional 15 percent will be split between interpretations and case analysis support. The remaining 10 percent will be expended on the other activities.

The statutorily mandated maintenance of the tariff library and all activities associated with the publishing and filing of carriers' tariffs and other price-related documents, including rail contracts; Federal Government traffic quotations; and postal contracts require a major portion of the Office's staff-years. The staff also examines a select number of carriers' tariffs for compliance with the statute, Commission decisions, and tariff publishing regulations; reviews rail contracts for compliance with the rail contract regulations; and maintains a file of rail contract summaries for public review. Motor and rail tariff filings are expected to increase slightly over FY 1992 levels due to the continued entry of new carriers, the additional attention focused on tariffs by the bankrupt carriers' undercharge cases, and the Supreme Court's decision in Maislin. The FY 1993 staff-year increase will provide for more adequate review, maintenance, and examination of tariffs. These staff-years are intended primarily to upgrade our review of newly filed tariffs prior to their effective dates, in order to improve our ability to prevent unlawful tariffs from becoming effective. Many of the current undercharge disputes have resulted from acceptance of tariffs that do not fully meet the requirements of the statute or regulations. Tariff filing workload is expected to increase in FY 1993 due to the proposed implementation of an energy tax and/or fuel surcharge and more stringent tariff filing requirements by the Commission resulting from Commission action on range and shipper-coded filed tariffs. The proposed energy tax/fuel surcharge issue may increase the rate of new filings with the Office, as carriers revise filed rates to pass the additional fuel costs to the using public. The renewed emphasis on stricter adherence to filing requirements to prevent substantively unlawful provisions from becoming effective and ensuring that tariffs are not needlessly difficult to use and understand, will place a more substantive responsibility on the Office to review currently filed tariffs for compliance with the Commission's regulations. The implementation of a document imaging system and studies to evaluate the feasibility of an electronic tariff filing system will impose additional demands on the Office in the short term, although these enhancements will result in efficiencies and better service over the longer term.

Tariff examination is the function of the Office of Tariffs, which ensures that carriers are properly filing tariffs in accordance with the statute and the filing policies and procedures set forth by the Commission. Since the onset of the undercharge controversy, arising from the efforts by bankrupt carriers/trustees of balance due bills from shippers, which were given lower shipping rates that which were not properly recorded in Commission-filed tariffs by those same bankrupt carriers, the subject of tariff examination has taken on greater importance and more emphasis has been placed on it. In addition to the undercharge issue, several other tariff filing-related issues, including range tariffs and shipper-coded tariffs, will impact on this workload. Range tariffs, which the Commission is proposing to eliminate, are filed tariffs with a range of shipping prices with no apparent methodology for the using public to decipher which price in the range will apply to a particular shipment. Carriers will be required to file more definitive revisions to their range tariffs, which will place more of an initial workload burden on the tariff examination unit. Also, shipper-coded tariffs, containing rates for individual shippers identified only by a code known to the carrier and shipper, are being reviewed by the Commission. The increased burden to examine new and existing filings for procedural adherence requires the Office of Tariffs to increase staff-years from 3 in FY 1992, to 9 staff-years in FY 1993, and to 13 staff-years FY 1994.

In a rulemaking which became effective on October 5, 1992, the Commission eliminated the requirement that certain rail carriers file the confidential contract portion of the two part contract document. The other portion, the public summary, still is required to be filed with the Commission and accounts for approximately half of the rail contract workload. Agricultural commodity carriers are not affected by this filing exemption. Agricultural commodity carriers account for the examination of 5,000 rail contract as part of the workload projected for FY 1994.

Case analysis support, which provides rate and tariff expertise to the Offices of Compliance and Consumer Assistance, the General Counsel, Hearings, and Proceedings, as well as other Government agencies, is projected to increase in FY 1993 and sustain the same level in FY 1994. Also, the Office will continue to perform rate and tariff analyses for the Office of Proceedings, as a result of the "negotiated rate" cases and in support of the Office of Hearings' decisions.

Rate regulation workload activities are uncontrollable and variable. Staff-years in FY 1993 and FY 1994 are not changing in this workload activity because, although the workload is increasing from the FY 1992 volume, the time to process the workload is decreasing due to computerization and the introduction of streamlined procedures.

Suspension/Special Permission Board activities have decreased significantly over the past several years, but now appear to have leveled off, except for the sharp increase in FY 1991 due to the Persian Gulf fuel crisis. In FY 1993 and FY 1994, activities are expected to increase.

Two other employee boards in the Office act initially for the Commission on specific matters. The Special Docket Board resolves rate applicability issues. This significantly reduces the paperwork burden for all parties involved--carriers, shippers/receivers, and Commission staff. The steady increase in rate regulation matters reflects the historical trend in the number of special dockets for the last few years. The Released Rates Board, which at one time had a relatively high workload and acted to limit carrier liability in exchange for lower rates, has a very limited role today because of changes in statutory provisions.

Certifications also are expected to increase in FY 1993 over the FY 1992 level and maintain approximately the same level in FY 1994 due to the "negotiated rates" cases and the resultant need for certified copies of tariff provisions and rates. The Office has coordinated a streamlined processing of certifications with the Office of the Secretary. Past time-consuming binding, packaging, and certifying have been streamlined and allow one staff-year to perform a greater range of volume.

Interpretations are currently at an historically high level due to the PIE-related and other bankrupt carriers' interpretations and other advice related to various provisions in the filed tariffs. The introduction of streamlined/boilerplate processing of forms has allowed for the increase in workload without an accompanying increase in staff-years. Workload is expected to remain at the historically high levels in FY 1993 and FY 1994.

All Office units participate in the special projects/rulemakings activity which is expected to increase slightly in FY 1994. This activity will increase as a result of congressional and the Commission's concerns for the integrity of filed tariffs. The Commission specifically directed the Office to address tariffs before they are filed. Once a tariff is filed errors become much harder to address (errors in filed tariffs must be addressed via show-cause orders, while defective initial tariffs can be rejected out-of-hand). An increase in the number of show-cause orders is expected as the Office encounters illegal provisions in previously filed tariffs.

The Commission has instituted a number of rulemaking activities in this area. The Congress, in the Committee reports to the Commission's FY 1993 appropriations bill, directed the Commission to reconsider its policies with respect to range tariffs, shipper-coded tariffs, and tariff indexing. Range tariffs are tariffs containing a range of rates, with no methodology to determine which rate applies for a given shipment; shipper-coded tariffs contain rates for individual shippers, without identifying such shippers; and tariff indexing facilitates users ability to locate individual tariff provisions. Tariff indexing issues relate to many different types of tariffs filed with the Commission. Since 1984, when the Commission abolished the requirement of carriers to index their filed tariffs during a period of greater reliance on free-market self-regulation, tariff indexing complaints have steadily risen. In response to renewed Congressional interest in tariff indexing and to facilitate the public's ability to use the filed tariffs, the Commission has proposed reinstituting the tariff indexing requirements. This will enhance the ease of reference/readability of tariffs by the using public. The resolution of these issues will impact the Office in both FY 1993 and FY 1994.

The proposed implementation of an automated electronic tariff filing system to facilitate electronic data interchange (EDI), automated rate negotiation, and automated rate analyses will assist the Office of Tariffs in achieving its goal of increasing diligence in the tariff examination and maintenance areas.

The efficiencies that the Office hopes to obtain from the document imaging system, will be used primarily to further strengthen the Commission's review of newly filed tariffs to help ensure that only lawful tariffs are allowed to become effective. Many of the current undercharge disputes are related to the existence of effective tariffs that do not meet the requirements of the statute and the Commission's regulations, and we are convinced that a more thorough review of newly filed tariffs is warranted in the public interest. If unlawful tariffs can be eliminated or corrected before they become effective, subsequent litigation relating to undercharges and/or overcharges can be significantly reduced. Because of inadequate resources, the Commission has drastically reduced its review of newly filed tariffs in recent years. The staffing increase authorized for FY 1993 will allow the Commission to reinstate a more adequate review, and the requested FY 1994 staffing level is required to continue that examination and review prior to tariff provisions becoming effective.

RESOURCES

Personnel Compensation and Benefits - Included in the requested $3,117,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Travel funds of $1,000 are requested to participate in educational seminars on rates and tariffs, conferences sponsored by other Government agencies or transportation organizations, and training.

Contracts - The Congress had provided $200,000 in the FY 1993 appropriation for contract services to aid the Commission in setting its long-term course for the electronic filing of tariffs and related pricing documents; and, if those analyses indicate that a comprehensive electronic tariff filing system is desirable, the implementation of the system should begin in FY 1994. At this early stage, it is difficult to accurately estimate the total cost of the system or the amount that will be required in FY 1994, since detailed specifications have not yet been developed. Nevertheless, if implementation is to begin in FY 1994, Congress must indicate whether the Commission should proceed with this endeavor and include the required funding in this budget. We expect that the total cost will be in the $15 to $20 million range. However, in keeping with the OMB funding limitation, the Commission was unable to include any funding in this budget request. We estimate that $5 million will be adequate for FY 1994 requirements, if Congress desires the Commission to proceed with the electronic filing of tariffs.

In FY 1990, the Commission authorized rail carriers to file tariffs electronically, but the Commission did not, at that time, establish standards for electronic tariff systems. In order to obtain the more significant benefits achievable through electronic tariff filing, it will be necessary to develop and implement a standardized system to be used by all carriers.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Maintaining Tariffs and Related Documents	1,308,930	1,512,600	1,387,600
Tariff Examination	15,000	50,000	113,000
Tariff Liaison and Counseling	22,304	20,400	20,400
Interpretations	7,109	7,100	7,000
Case Analysis Support	197	315	320
Rate Regulation Matters	0	0	0
Special Permissions and Suspension Cases	76	95	95
Certifications	336	630	600
Rulemakings and Special Projects	87	75	80
Rail Workload			
Maintaining Tariffs and Related Documents	116,962	100,050	100,050
Tariffs Examination	600	200	300
Contract and Contract Summary Maintenance and Examination	77,081	75,000	38,000
Tariff Liaison and Counseling	1,399	1,600	1,600
Interpretations	604	630	500
Case Analysis Support	68	70	65
Rate Regulation Matters	859	1,000	950
Special Permissions and Suspension Cases	28	24	36
Certifications	1	0	0
Rulemakings and Special Projects	7	15	20

OFFICE OF TARIFFS

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$2,440	$3,064	$3,117
Travel	0	1	1
Contracts	46	995	0
Other Expenses	738	833	1,863
TOTAL ESTIMATES	$3,224	$4,893	$4,981
Offsetting Collections	(1,782)	(1,942)	(1,913)
Appropriation	$1,442	$2,951	$3,068

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	42	51	54
Bus	0	0	0
Household Goods	1	1	1
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	43	52	55
RAIL			
Antitrust	0	0	0
Other	11	11	7
TOTAL RAIL PROGRAM	11	11	7
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	54	63	62

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE

The FY 1994 request for the Office of Compliance and Consumer Assistance (OCCA) is $13,690,000 and 180 staff-years. The request is based on providing workload functions that are consistent with the Commission's administration of the Interstate Commerce Act (ICA), related statues, and the applicable Federal regulations.

One of the central themes of the Interstate Commerce Act (ICA) and related statutes is the requirement that persons and entities must comply with all provisions of that law. For example, some of the provisions require that carriers meet certain criteria, such as obtaining operating authority from the Commission before operating in interstate commerce, while other provisions prohibit certain practices by carriers, such as charging more or less than the published tariff rates. The Commission is empowered to administer the ICA both as a decision maker and as the enforcer against noncompliance with the statute and related regulations.

The Commission has delegated to OCCA the responsibility for reviewing and monitoring the surface transportation industry's compliance with the revised ICA, Commission regulations, and related statutes; assisting complainants in resolving complaints against regulated carriers; pursuing investigative and prosecutorial programs for all modes of surface transportation subject to Commission jurisdiction; providing advice and technical assistance to the Commission on the operational practices of surface transportation carriers; participating, when directed by the Commission, in the development of the record in proceedings before the Commission; providing assistance to the general public; processing and deciding applications for temporary authority and emergency temporary authority; coordinating the Commission's overall mobilization activities, including the National Defense Executive Reserve Program; providing a liaison with other Federal and State agencies at the field level; and assisting small carriers and owner-operators with respect to transportation-related issues and problems.

OCCA's organizational structure consists of a headquarters staff and 3 regional offices, under which there are 17 area offices. The headquarters staff consists of the Director's Office and the Section of Operations and Enforcement. The Section of Operations and Enforcement consists of two branches; namely, the Programs and Insurance Branch and the Enforcement Branch. Each Branch, under the direction of the Section Chief, provides policy guidance, program direction, and technical support to the Office's field staff. Some technical functions, however, are performed exclusively at headquarters. These functions include the coordination of nationwide enforcement cases; the prosecution of cases involving violations of the Commission's Code of Ethics by Attorneys and Practitioners who practice before the Commission; the revocation of permanent authority when carriers fail to maintain required insurance; and railroad car service matters.

Each region is headed by a Regional Director. The field staff includes Special Agents, Attorneys, Transportation Industry Analysts, and clerical support personnel. Special Agents, stationed at the regional and area offices, perform a wide range of activities, including public service functions, such as responding to inquiries from the public and handling emergency hardship complaints where the complainants need immediate assistance. In addition, Special Agents engage in compliance functions, including insurance assignments, compliance surveys, special projects, and investigations.

Each regional office has a Complaint and Authority Center. These centers handle complaints received in the regions, respond to a broad range of public inquiries, monitor carriers' timely replacement of canceled insurance filings, and process all applications for motor carrier emergency temporary and temporary authority. Staff members performing these functions are classified as Transportation Industry Analysts.

An attorney staff is maintained in each region to handle enforcement matters. A number of enforcement measures are available when violations of the ICA, related statutes, and the Commission's regulations require action against violators. These remedies include nonjudicial actions, such as written warnings, violation notices that demand immediate compliance, and consent agreements where the violators agree, in writing, to cease and desist from conducting further prohibited practices. More stringent enforcement actions are pursued when nonjudicial actions do not correct the violative practices and, also, in situations where the facts developed through investigations indicate a need for stronger measures to be taken in the first instance; such measures include court-ordered injunctions, civil forfeitures, and criminal referrals to the Department of Justice. Additionally, depending on the nature of a violative practice, the Office can petition the Commission to open a formal investigation against any regulated person or entity to determine whether some type of administrative redress or punitive action is necessary.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Decided 10,603 applications for motor carrier emergency temporary and temporary authority; processed emergency temporary authority applications on a 1-day average turnaround and temporary authority applications on a

20-day average turnaround, including a 15-day statutory period for public notice.

- Handled 170,412 inquiries concerning requirements of the Interstate Commerce Act and related regulations of the Commission.
- Handled 9,816 complaints leading to the recovery of nearly $600,000 for complainants, including owner-operators and household goods and general commodities shippers.
- Handled 12,465 insurance assignments in the field, resulting from cancellations of carriers' certificates of insurance and other types of security by insurance or surety companies.
- Conducted 543 compliance surveys of carriers and entities under Commission jurisdiction.
- Issued several emergency orders ensuring continuation of Amtrak service over alternate lines when disruptions occurred on regular route tracks.
- Conducted 398 final investigations.
- Handled 2,119 litigation cases.
- Issued 42,620 orders related to the revocation or reinstatement of operating authority certificates.
- Prepared 10 decisions on self-insurance applications for consideration by the Commission.
- Continued a specialized monitoring project of motor passenger service, including bus terminal inspections and ride-on inspections.
- Pursued unauthorized and under-insured motor passenger carriers offering to provide transportation to the public.
- Obtained and provided the Commission with information on the operational practices of a number of railroads relative to proceedings before the agency.
- Continued to promote Federal and State initiatives to monitor compliance with the law which requires Certificates of Registration as a prerequisite for Mexican carriers to enter the United States.

- Successfully petitioned the Commission to revoke Certificates of Registration of Mexican carriers not qualified to receive such authorizations and, also, Mexican carriers that consistently violated the geographic limits of the certificates.

- Conducted investigations and sought court injunctions against nonoperating carrier representatives from issuing balance due bills for freight charges beyond the applicable rates published in tariffs on file with the Commission.

- Pursued, through Grand Jury investigations, alleged insurance scams that resulted in questionable coverage for carriers and protection of the public.

- Concluded several enforcement cases involving failures of carriers to return funds to shippers who unknowingly paid duplicate freight bills presented by carriers on the same shipments.

- Pursued investigations of carriers' failures to seek Commission approval before purchasing other carriers with the possible motive of stripping the assets of the purchased entities.

- Provided the Commission with the second annual report covering the monitoring of the TTX's (formerly named Trailer Train Company, Inc.) "Pooling of Car Service with Respect to Flatcars" agreement approved by the Commission in 1989 for a five-year period.

- Participated with other Federal agencies in emergency preparedness program activities related to the national defense and natural disasters.

OBJECTIVES FOR FY 1993 and FY 1994

- Respond to inquires from the public and the industry concerning transportation regulatory matters.

- Respond to complaints from the public against regulated entities involving all types of transportation-related problems.

- Identify and investigate violations of the rules, regulations, and laws under the Commission's jurisdiction and, where possible, target the most abusive noncompliance for special attention.

- Continue to use the full range of enforcement options, such as consent agreements, injunctions, violation notices, and other types of prosecutorial measures, including civil and criminal penalties to achieve compliance.

- Continue to examine records of carriers to ensure that duplicate payments of freight charges are timely refunded to shippers.
- Process and decide over 10,000 short-term motor carrier licensing applications.
- Continue to receive, evaluate, and rectify emergency complaints from the public referred by the Commission and Congress.
- Monitor carriers' insurance compliance and handle an estimated 12,400 insurance assignments in FY 1993 and 11,500 insurance assignments in FY 1994; prepare and issue an estimated 42,700 orders relating to the revocation or reinstatement of operating authority.
- Provide information to the public concerning insurance rules and the Commission's revocation process.
- Expeditiously process and recommend decisions on carrier applications for authority to self-insure.
- Conduct a compliance survey program and continue to administratively resolve noncompliance matters, where possible, reserving in-depth investigative and enforcement resources for serious types of violations.
- Ensure that carriers comply with the safety fitness conditions included in operating authority certificates issued by the Commission.
- Monitor rail operations nationally and keep the Commission informed on situations, such as work stoppages and strikes, areas of congestion, and cessation of service; and provide recommendations for Commission action, where appropriate, to correct the problems.
- Continue the special monitoring program of the Nation's intercity bus passenger service in FY 1993.
- Continue to monitor a pooling agreement of TTX approved by the Commission in 1989.
- Continue to monitor the moratorium which prohibits Mexican motor carriers from entering the United States, except those carriers that have received Certificates of Registration from the Commission. Also, participate in

furthering any transportation policies or decisions that will evolve if a North American Free Trade Agreement is adopted with Canada and Mexico.

- Continue to monitor rate bureaus operating under agreements approved by the Commission.
- Continue to participate with other Federal agencies in emergency preparedness program activities related to the National Defense and develop contingency transportation plans in the event of natural disasters.

BENEFITS TO THE PUBLIC

The transportation statutes, related requirements, and Commission regulations impact on all facets of our Nation's commercial and economic environment. The monitoring and enforcement programs are a means of ensuring that reasonable compliance with the law is maintained in the transportation industry so that all affected entities can vigorously and fairly compete. The insurance monitoring function is especially important to identify carriers without appropriate bodily injury, property damage, and cargo insurance and to prohibit them from operating over the highways until proper insurance coverage is obtained.

The presence of OCCA's staff at the three regional offices ensures that the public receives expeditious assistance with complaints that are reported against regulated entities and also that applications from carriers seeking short term operating authority are timely processed. In addition, the presence of OCCA's staff at seventeen other strategically located field offices provides the public and carriers with the ability to contact the Commission at the local level concerning any transportation issue, question or problem.

WORKLOAD

The Commission's FY 1994 staffing request for OCCA is based on performing all controllable and non-controllable work functions delegated to the Office by the Commission. Examples of controllable work functions are compliance surveys and investigations because management can exercise control over the number of assignments made based on resources that are available. Examples of non-controllable work functions are applications for emergency temporary and temporary authority and complaint handling where the level of workload depends on the number of applications filed or the number of complaints received from the public. The FY 1994 budget request estimates that the non-controllable work accomplishments will remain relatively constant with FY 1993, with the controllable activities reduced slightly to account for the reduction in staffing between the respective years.

The FY 1992 motor compliance and enforcement program included a variety of accomplishments. The principal investigation activity, and a concentrated enforcement effort, was devoted to the so-called "undercharge" problem. It is estimated that the potential undercharge billings could reach $27 billion. It is expected that the various court cases, and the Commission's continuing enforcement involvement in tariff-related cases, will extend over the next two years. Other motor compliance and enforcement activities included monitoring to detect carrier operations that lack proper insurance, persistent unauthorized transportation, owner-operator abuses, and scams in which carriers were attracted to low-cost insurance premiums for protection that either does not exist or is inferior to the Federal requirements, safety fitness of motor carriers, auto-truckaway service, property broker licensing issues, and compliance with the moratorium on Mexican interstate and foreign transportation.

Staffing levels for rail functions were conservative in FY 1992, and approximately the same level of effort is projected for FY 1993 and FY 1994. Deregulation of many rail practices eliminated the concentrated compliance effort that occurred before the Staggers Act. Nonetheless, there continues to be a need for the Commission to stay abreast of rail operational practices, as well as specific rail cases that come before the agency, including car shortages that periodically occur in various parts of the country.

Following is a description of each of the functions of the OCCA:

Licensing - Applications by motor carriers for emergency temporary (ETA) and temporary authority (TA) are received, processed, and decided by a Regional Motor Carrier Board in each of the three regional offices. The ETA applications are decided in approximately 1 day from the time the applications are accepted, and TA applications are decided in approximately 20 days (including a 15-day publication and comment period) from the date of receipt. ETA and TA applications in FY 1992 increased 17.6 percent over FY 1991. It is expected that the workload will remain at the FY 1992 level in FY 1993 and FY 1994. OCCA collected approximately $902,000 in fees in FY 1992, and the fees are estimated at $975,000 for FY 1993. However, the fees estimated to be collected in FY 1994 are projected to increase to $1,043,000, due to a proposed increase in application fees as a result of the increases in the 1993 Update of the Commission's fees schedule.

Inquiries - An essential service provided by the Commission is the accessibility and responsiveness of staff at headquarters and field offices to provide information and assistance to the Congress, carriers, shippers, and to the general public on any transportation-related matter. Workload for FY 1993 and FY 1994 should remain somewhat consistent with FY 1992.

Complaints - This function involves the handling of informal complaints reported to OCCA from all sources. In most instances, the complaints are resolved expeditiously and amicably through the complaint handling process. While complaints cover the transportation spectrum, most relate to freight and household goods carriers. Loss and damage of goods and overcharges are the leading causes of complaints. Additionally, complaints frequently are received from owner-operators regarding allegations that carriers fail to pay promptly or accurately for line-haul transportation service performed by the owner-operators. Increasingly, complaints are received from shippers of personal automobiles against truckaway carriers and also brokers who fail to provide service. Complaints also have been increasing against estimating practices of some household goods carriers in that the estimated weight of shipments of household goods provided to residential shippers are significantly below actual weight and results in much higher freight charges. Over the FY 1992 and FY 1993 periods, the Commission's staff has handled close to 20,000 complaints and recovered over $1.6 million for complainants from carriers, who otherwise might have been less inclined to resolve the complaints without intervention of the Commission. It is expected that the FY 1994 workload will be comparable to the work activity in each of the past two years.

Insurance - The work under this function originates in the regional offices on a daily basis in the form of computer printouts that list the names of carriers whose insurance coverage is about to expire. The staff contacts the carriers to inquire if evidence of replacement insurance coverage will be forthcoming. Contact also may be made with the insurance company replacing the coverage to expedite the filing. Where replacement coverage is not timely received and uninsured operations appear likely, OCCA seeks injunctive relief or obtains a consent agreement from the carrier to prevent such unlawful activity. Since the mid-1980's when insurance costs were very high and availability was critical, workload demands have gradually decreased and the trend is expected to continue through FY 1994. This is attributed to the relative stability of the industry that insures motor carriers. In addition, streamlined procedures in handling this work activity over the past several years have reduced staff time required to perform the function. Also, contributing to the increased proficiency in this area is the use of part-time students working under special Government-college work study programs.

Compliance Surveys - This function is the principal method of overseeing the surface transportation industry's compliance with the transportation statutes and the Commission's regulations.

In many instances, the compliance survey visits are the only direct contact carrier officials have with the Commission and provide the opportunity to raise questions and issues about the statutory requirements and Commission rules and regulations. This function also has the salutary effect of promoting voluntary carrier compliance, but, occasionally, serious noncompliance is discovered that requires complete investigation. The program includes monitoring the services provided by railroads, motor property and passenger carriers, and property brokers. Further, compliance surveys are conducted to determine whether the operations of rate bureaus and member carriers adhere to the terms of the agreements approved by the Commission for collective ratemaking purposes.

The compliance survey function is inextricably linked to the overall enforcement program. Enforcement, by definition, results in change by force. Prosecution is the ultimate form of enforcement, but the correction of noncompliance through administrative handling with carriers and other regulated entities by the staff investigators at the compliance survey stage, when appropriate, accomplishes the same objective. The projected FY 1994 compliance survey workload is slightly lower than that of FY 1993 because of the reduced resource request.

Special Projects - This function relates to information on many types of transportation special projects which can arise from requests for data from the Congress, the Commission, another Commission office, or from OCCA's management. Some special projects are planned in advance as part of an annual work program, and others are initiated as the need develops during the year. In FY 1992, the monitoring of the Mexican Certificates of Registration requirement continued along the southern border of the United States. Several administrative proceeding cases were submitted to the Commission for consideration, and the Certification of Registration authorities were revoked where it was found that the carriers were ineligible to hold certificates. The staff also continued to work with other Federal and State agencies that have responsibilities to enforce the requirements related to foreign motor carriers. A project of monitoring the intercity motor passenger service continued during FY 1992, and the findings were discussed with carrier officials to correct service-related problems that were found. The Mexican Certificate of Registration project will continue and possibly intensify over the next two years, and the special intercity motor passenger service project will continue, at least, through FY 1993. Special projects anticipated through FY 1994 include the review for accuracy of processed agency filings; a review and possible revision of compliance forms; the monitoring of insurance compliance by small, local passenger carriers; the surveying of compliance of HHG freight forwarders whose loss and liability requirements have been waived; a survey/investigation of lumping activities; and the investigation of property broker misrepresentation.

With respect to rail activities, the second annual report was forwarded to the Commission covering TTX's compliance with terms and conditions imposed in a 1989 Commission decision that authorized a pooling arrangement. This project will continue over the next two fiscal years with other projects geared to monitoring the level of rail car availability against the demand for the equipment. The FY 1994 motor and rail workload activities and requirements are expected to be reduced slightly from FY 1993 projected levels because of the minor adjustment in staffing levels.

Rate Bureau Monitoring - Collective ratemaking meetings of rate bureaus must be conducted in compliance with the requirements of the statutes and must conform with the limitations imposed by the Commission's regulations. There is a direct relationship between this function and the statutory provisions that limit the operations of rate bureaus in the collective ratemaking activities. On an unannounced basis, the staff attends and observes these meetings to determine if the proceedings comply with the regulations. The workload activities for this function are expected to remain constant over the next two years.

Preliminary Investigations - This function provides regional office management with an alternative to compliance surveys or final investigations. It provides and serves as a means of conserving resources, since preliminary investigations generally are less time consuming. Compliance surveys generally involve reviewing many aspects of a carrier's operation, while final investigations are detailed examinations of a particular set of circumstances alleged to be in violation of the law. Preliminary investigations are cursory probes of specific circumstances to determine if noncompliance exists. If violations are discovered in the preliminary investigation stage, the files are either closed following informal handling with the violators to correct the abuses or, if appropriate, subject to complete and detailed (final) investigations with the possibility of enforcement action, depending on the facts developed. The workload expectation for preliminary investigations in FY 1994 is similar to the FY 1992 accomplishments and those projected for FY 1993.

Final Investigations - This activity involves the detailed and comprehensive investigation of alleged violations of the transportation statutes or the Commission's rules and regulations. The three basic elements present in all final investigations are documentation, interviewing, and report writing. Insurance noncompliance is an important enforcement item because of the potential financial threat to the public if carriers operate without proper liability coverage, cause accidents, and then lack the financial resources to settle claims. Final investigations of insurance violations contribute to the total number of accomplishments shown for this function, but generally these investigations are not as time consuming as investigations of other types of alleged violations. Conversely, rail investigations involving allegations of unlawful abandonment, car distribution practices, or antitrust can be very time consuming. Likewise, investigations of owner-operator abuses, overcharge practices, lumping, duplicate payment issues, false weights of shipments, misdescription of commodities, and other similar matters are time consuming and require considerable investigative resources. There was a concentrated effort in FY 1992 to require carriers to abide by published tariff rates. Overall, there were approximately 50 tariff-related investigations conducted during the year. In addition, special attention was devoted to truckaway carriers for failure to provide transportation and return prepaid freight charges to shippers. Alleged noncompliance in these areas will continue to receive attention over the next two fiscal years.

The experienced Special Agent staff handles final investigative assignments; and the FY 1994 workload accomplishments are expected to be in the same general range as FY 1992 and FY 1993.

Litigation - OCCA's enforcement cases are handled by trial attorneys at headquarters and in the field. There were several significant enforcement accomplishments in FY 1992, including a series of tariff-related cases and several truckaway actions, as well as the incarceration of one carrier official for continuously failing to deliver cars to shippers. In addition, several large fines were imposed against carriers for collecting freight charges twice on the same shipments. A concentrated enforcement effort also was devoted to Mexican carriers for violations of the prohibition against those entities operating solely within the border states' commercial zones in this country without Certificates of Registration issued by the Commission.

The number of litigated cases exceeds the number of final investigations because the insurance program does not, in many instances, require investigation at the carriers' premises. The regional office staff is able to discover insurance violations through computerized information and to verify the information through telephone contact and correspondence with insurance companies and motor carriers. Once verified, the offending carrier is asked to sign a nonjudicial consent agreement, agreeing not to operate without insurance. These cases are not as time consuming as standard on-site investigations by the investigative staff and, consequently, require less processing by staff attorneys. Nevertheless, this administrative remedy has been very successful in bringing about the desired result of compliance.

The Office plans to aggressively pursue enforcement of serious noncompliance in such categories as insurance; overcharges; duplicate payments; claims regulations; owner-operator abuses; household goods regulations; unauthorized passenger operations; false weights of shipments; misdescription of commodities; departures from tariff rates; the failure of carriers, often through arrangements by brokers, to transport personal automobiles in accordance with shipper instructions; Certificate of Registration violations by Mexican carriers; unauthorized rail abandonments; and noncompliance with other types of rail statutory requirements. Where actions are necessary, the preferred remedies will be injunctions, civil forfeitures, other civil and criminal sanctions, and nonjudicial consent agreements. Workload accomplishments and requirements for FY 1994 are expected to be similar to the FY 1992 and projected FY 1993 workload activities.

Outreach - This function involves the staff's availability to participate in transportation-related meetings and to accept speaking engagements before transportation-related groups. In addition, the staff participates with other Federal and State agencies in joint projects to promote compliance with the various transportation regulations and with small carriers concerning regulatory matters. This function will be carried forward in FY 1994 at a slightly reduced resource level.

Emergency Preparedness/NDER - This function involves the Emergency Preparedness Program of the Federal Government as vested in the various civil agencies and administered by the Federal Emergency Management Agency (FEMA). It consists of two elements: (1) authority given to the Commission, under various statues and Executive Orders, to develop emergency plans for the operational aspects of domestic surface transportation in time of war or national emergency; and (2) the maintenance of a National Defense Executive Reserve (NDER) Program, which is a roster of carrier executives who agree to serve as standby reservists and could be brought into the Federal Government service in a declared national emergency to assist in the operation of the domestic surface transportation system. The Commission's program consists primarily of participating in meetings and exercises conducted by FEMA and maintaining the NDER roster. Other lead agencies involved in this activity increased their programs throughout the 1980's and have looked to this Office to participate in the exercises. Over the next few years, it is expected that this function will continue throughout the Federal Government, and the staff will continue to be responsive.

Rulemakings/Proceedings - This function relates to proceedings in which OCCA has direct responsibility for analyzing and drafting decisions for the Commission's consideration, including motor carrier applications for self-insurance authority. It also includes providing assistance to other Commission offices in various types of proceedings, particularly with respect to information involving carrier operational practices and procedures. This function is expected to continue in FY 1994, at approximately the same level that occurred in FY 1992 and is projected for FY 1993.

Revocations - This activity flows from the work performed by the field staff on insurance cancellations. It is grounded in the same statutory provisions that apply to the obligation that carriers must have insurance to operate in interstate commerce. When a carrier fails to obtain insurance by the termination date, a computer-generated revocation proceeding is opened. The first show-cause order is issued within days of the carrier's loss of insurance, followed by a second revocation order if compliance is not obtained within 60 days of the first order. The entire process of revocation from the receipt of the insurance cancellation to the formal notice of revocation takes approximately 150 days. The automated compliance system has the capability of providing a discontinuance order to terminate the revocation proceeding if a carrier obtains compliance by filing the appropriate certificate of insurance with the Commission. The short time period between the expiration of insurance coverage and the issuance of the show-cause order frequently results in the issuance of discontinuance orders after carriers have come into compliance with insurance requirements. The FY 1994 workload for this function is expected to remain at the same level as FY 1992 and FY 1993.

Self-Insurance Compliance/Other Insurance-Related Activities - Self-insurance compliance involves monitoring the carriers' overall compliance with the terms and conditions imposed by the Commission in each grant of self-insurance authority. The Interstate Commerce Act provides that the Commission may allow motor carriers to self-insure and the agency has established such procedures. This includes periodic reports on claims experience and quarterly financial information. The function is performed primarily at headquarters, but field activity becomes necessary when discrepancies are noted in the reports filed by the carriers. Related activities under this function include such items as: (1) verifying that insurance and surety companies which are making filings with the Commission are licensed by a State, as required by Commission rules; (2) monitoring, to the extent possible, freight forwarder compliance with the Commission's cargo insurance requirements; (3) reviewing compliance of property brokers that file trust fund agreements in lieu of surety bonds, under rules adopted by the Commission; and (4) applying verification procedures to ensure that carriers are in compliance with the security requirements. This activity is an essential part of the statutory purpose of allowing carriers to self-insure under the approval and scrutiny of the Commission.

RESOURCES

Personnel Compensation and Benefits - A total of $10,223,000 will be needed to support OCCA's 180 staff-years. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - A total of $580,000 is requested for travel in FY 1994; approximately $550,000 of which will be used by the Office's Special Agent staff to conduct the compliance and investigative functions. The balance of the requested funds will cover travel by the trial attorney staff, as well as travel by the regional management staff to the area offices for supervisory purposes, meetings, and other official duties. Funds also would be provided for the headquarters staff to conduct regional seminars, inspect and review field functions, appear in court, and conduct cross-region investigations handled directly by headquarters staff and for other official duties in travel status.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services. Approximately 20 percent of OCCA's staff will be eligible for retirement in FY 1994. It is expected that a number of retirements will occur, creating a need to fill several critical investigative, managerial, and senior-level positions through reassignment of experienced personnel and the realignment of OCCA's regional workforce to accomplish the workload required by the Commission's decision on the FY 1994 budget request. Accordingly, OCCA requests $200,000 for anticipated change-of-duty-station relocation and moving expenses for FY 1994.

WORKLOAD SUMMARY

	FY 1992	FY 1993	FY 1994
Motor Workload			
Emergency and Temporary Authority Applications	10,603	10,600	10,600
Inquiries	165,663	165,060	165,060
Complaints	9,663	9,640	9,650
Insurance Assignments	12,465	12,400	11,500
Compliance Surveys	525	530	505
Special Projects	66	63	55
Rate Bureau Monitoring	39	44	46
Preliminary Investigations	1,271	1,235	1,235
Final Investigations	388	394	396
Litigation	2,115	2,115	2,116
Rulemakings/Proceedings	18	16	15
License Revocation Orders	42,620	42,700	42,700
Rail Workload			
Inquiries	4,749	4,700	4,700
Complaints	153	160	150
Compliance Surveys	18	15	15
Special Projects	10	5	5
Rate Bureau Monitoring	3	6	4
Preliminary Investigations	13	15	15
Final Investigations	10	6	4
Litigation	4	5	4
Rulemakings/Proceedings	0	2	2
Fees Collected	$902,339	$975,000	$1,043,000

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$9,078	$9,958	$10,223
Travel ′	572	580	580
Contracts	0	0	0
Other Expenses	2,648	2,796	2,887
TOTAL ESTIMATES	$12,298	$13,334	$13,690
Offsetting Collections	(792)	(1,146)	(1,153)
Appropriation	$11,506	$12,188	$12,537

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
MOTOR			
Freight	120	124	122
Bus	14	15	12
Household Goods	19	20	20
Broker	18	18	17
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	171	177	171
RAIL			
Antitrust	0	1	1
Other	8	7	8
TOTAL RAIL PROGRAM	8	8	9
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	179	185	180

OFFICE OF THE MANAGING DIRECTOR

The FY 1994 request for the Office of the Managing Director is $6,888,000 and 61 staff-years. The Office of the Managing Director provides for the day-to-day administration of the Commission. It is responsible for the coordination of the Commission's programs and activities. It provides necessary administrative support services for headquarters and field staff.

The Office is comprised of four sections and the Managing Director's immediate office, which provides administrative direction to the sections and the Commission's Offices. The Information Resources Management (IRM) Unit, attached to the Managing Director's immediate office, coordinates Commission IRM activities, ensures compliance with the Computer Security Act and the Paperwork Reduction Act, and administers the Commission's forms and records management, information systems, and Privacy Act and Freedom of Information Act activities. The Personnel Office plans, develops, and implements the personnel management program for the agency. The Budget and Fiscal Office provides budget planning and execution, accounting, financial management, payroll services, and fiscal support. The Section of Administrative Services provides purchasing, housing, building maintenance, safety, security, telecommunications, and other general support services. The Section of Systems Development provides computer and word-processing support.

MAJOR ACCOMPLISHMENTS IN FY 1992

- Responded to approximately 1,000 requests for information and statistics from ICC databases.
- Prepared testimony, briefing materials, and hearing records on the FY 1993 budget submission for OMB and Congress; completed the initial FY 1994 budget estimates document.
- Administered the FY 1992 spending plan, monitoring staff-year usage and dollar obligations, as well as updating monthly financial projections.
- Continued emphasis on efforts to upgrade the working conditions in the building (e.g., more responsive maintenance service from GSA; an ongoing program to rehabilitate portions of the building's heating, cooling, and elevator systems; and the implementation of the new digital telecommunication system).
- Contracted for and concluded feasibility studies on installing a public response system utilizing the

telephone to provide access to Commission databases and on an optical imaging system to replace existing paper tariff filing process so as to enhance accessibility to information by the Commission and the public.

- Installed 35 personal computers and associated peripherals and upgraded the entire inventory of 480 computers with latest versions of Commission standard software.
- Implemented the Transit Benefit Program at headquarters and in 12 field offices, financially assisting and encouraging employees to use State/local mass transit for their commute to and from work.
- Completed work on the development of program guidelines for the establishment of a drug enforcement program.
- Responded to Privacy Act and Freedom of Information Act requests within an average of 10 days and was upheld on all those appealed to the General Counsel's and Chairman's Offices.
- Developed and distributed procedures for implementing a variety of management responsibilities such as procurement policies and procedures, collection and deposit of Government receipts, leave administration, and permitting time off from duty as an incentive award under the Federal Employees Pay Comparability Act.
- Implemented the electronic processing of payments for invoices, travel, Commissioners' payroll, and Federal taxes.
- Implemented a Federal Employee Compensation Act (FECA) monitoring program for better coordination between the Commission and Office of Workers Compensation Programs upon the initiation of a FECA claim.

OBJECTIVES FOR FY 1993 AND FY 1994

- Coordinate day-to-day operations of the agency, providing required administrative services in a timely fashion to support Commission programs, with emphasis on improving quality and reducing costs.
- Renegotiate collective bargaining agreements with the unions representing agency employees.
- Implement and administer a drug enforcement and employee assistance program.

- Prepare and revise budget submissions for Congress and OMB; develop testimony and briefing materials for OMB and congressional hearings on appropriation requests.

- Obtain greater efficiency from agency personal computers by establishing local area networks where practical to support Commission in-house applications.

- Develop and implement FY 1993 and FY 1994 spending plans; ensure that resource limitations are not exceeded.

- Complete a total review of the Commission's existing information systems and procedures; defining and developing new systems and procedures, as necessitated by the Commission's changing role in the regulated transportation environment; and implementing these systems on new hardware platforms.

- Continue the timeshare system's recompetition and conversion process--current 5-year teleprocessing services contract expires on April 1, 1994.

- Complete implementation of the recommendations contained in the Inspector General's audit report on Tariff Fee Billing and Collection process.

BENEFITS TO THE PUBLIC

The Office serves the public interest in several ways. It guards against fraud, errors, waste, abuse, and inefficiency in the agency. This includes ensuring that all purchases and financial transactions are accurate, appropriate, and properly recorded. It determines the proper classification for positions and establishes the eligibility of applicants, ensuring that individuals are qualified for jobs and are appropriately compensated.

WORKLOAD

For several years, the focus of the Systems Development staff workload centered on the procurement, installation, and familiarization training associated with the introduction of personal computer workstation technology to the Commission staff. With 480 workstations in place, much of that effort will shift to a maintenance and enhancement mode with emphasis on providing limited software and programming support essentially keeping existing programs functioning and personal computer software current. Reconfiguration and redesign of the Commission's major computer system will have to be achieved utilizing outside contractors.

Drug enforcement programs, including random drug testing procedures, are scheduled for implementation in FY 1993 and will continue as an ongoing program through FY 1994.

The Office continues to coordinate the building upgrade program with GSA so that rehabilitative work to the building infrastructure can progress with minimum disruption to the staff and the work environment. The level of this activity will slowly increase as GSA develops plans to renovate the ICC-Customs complex in the latter half of the decade necessitating relocation of the Commission staff.

Implementing the recommendations of the Inspector General's (IG) audit report on the Tariff Fee Billing and Collection process will require an additional 3 staff-years to provide for the transfer of the fee billing and collection function from the Office of the Secretary; for the enhanced credit management and debt collection policy oversight, as recommended in the IG audit report; and for the maintenance of separate accounting functions and duties to ensure proper internal controls.

RESOURCES

Personnel Compensation and Benefits - Included in the requested $3,723,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - The $20,000 requested for travel will cover the costs of visits to the field offices to assist employees in using new or updated computer systems, performing personnel management functions, carrying out administrative procedures, and testifying at Merit System Protection Board hearings.

Contracts - A total of $1,897,000 is requested for the continuation of one contract. This contract continues to fund the multi-year initiative for the planning and analysis and the initial programming development for the redesign of the Commission's software systems, which are operating on a 20-year-old technology and becoming increasingly difficult to maintain with the technology improvements and changing computer environment. Initial planning, analysis, and design work was initially funded in FY 1992 and FY 1993. This second step of a multi-year effort for redesigning the current timeshare system and improving the system's operation will incorporate a continuing review of the existing systems and procedures; the definition, development, and implementation of new systems and procedures; and the preparation of a detailed description of the work to be done, together with an implementation schedule.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services, as well as some administrative costs for the agency as a whole.

WORKLOAD SUMMARY

General Management and Administration Workload	FY 1992	FY 1993	FY 1994
Privacy/FOIA Requests	239	225	230
Personnel Actions	1,252	1,300	1,300
Pay Items	32,712	33,100	33,100
Vouchers/Invoices	8,896	9,000	9,000
Accounting Entries	40,766	56,000	56,000
Receipts Deposited	35,390	41,000	41,000
Contracts/Procurement Actions	5,156	4,500	4,500
Space and Building Services	2,977	3,700	3,700
ADP Systems Maintained	60	60	60
ADP Programs Maintained	5,500	5,500	5,600

OFFICE OF THE MANAGING DIRECTOR

RESOURCE SUMMARY

($ in thousands)

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
Personnel Compensation and Benefits	$3,400	$3,423	$3,723
Travel	5	8	20
Contracts	909	1,140	1,897
Other Expenses	1,149	1,195	1,248
TOTAL ESTIMATES	$5,463	$5,766	$6,888
Offsetting Collections	0	(219)	(219)
Appropriation	$5,463	$5,547	$6,669

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1992 Actuals	FY 1993 Budget Estimates	FY 1994 Budget Estimates
GENERAL MANAGEMENT AND ADMINISTRATION	62	59	61
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	62	59	61

SUMMARY OF INCREASES AND DECREASES BY MAJOR OBJECT CLASS
(dollars in thousands)

	FY 1992 Actual Obligations	FY 1993 Budget Estimates	INCREASE/ (DECREASE)	FY 1994 Budget Estimates	Funding Source	
					Offsetting Collections	Appropriation
Personnel compensation	$30,058	$32,925	$29	$32,954	$6,288	$26,666
Personnel benefits	5,054	5,199	379	5,578	1,012	4,566
Benefits for former personnel	40	40	0	40	0	40
Travel and transportation of persons	682	732	28	760	0	760
Transportation of things	5	10	23	33	0	33
Rental payments to GSA	5,599	6,031	142	6,173	0	6,173
Communications and utilities	1,198	1,430	(6)	1,424	0	1,424
Printing and reproduction	329	335	10	345	0	345
Other services	2,573	3,923	(88)	3,835	0	3,835
Supplies and materials	426	395	9	404	0	404
Furniture and equipment	416	209	1,010	1,219	0	1,219
Tort claims and indemnities	1	1	0	1	0	1
Total estimates	$46,381 1/	$51,230 2/	$1,536	$52,766	$7,300	$45,466

1/ FY 1992 Actual Obligations reflect $40,881,000 from the appropriation and $5,500,000 from offsetting collections.

2/ FY 1993 Budget Estimates reflect the $43,930,000 appropriation and $7,300,000 from offsetting collections.

COST JUSTIFICATIONS
BY
MAJOR OBJECT CLASS

The major increases in the FY 1994 object class estimates from the FY 1993 estimates are attributable to an increase of $1 million for the acquisition of optical imaging equipment for the Office of Tariffs, increased personnel benefits costs, and increased rent costs. Other increases in object class estimates are due to the increased costs for travel; transportation of things; printing; and supplies. These increases are offset by decreases in personnel compensation and benefits associated with the FY 1994 reduction of 16 staff-years from the FY 1993 enacted level and decreases in communications and utilities and contract costs.

Personnel Compensation		
	FY 1993 --	$32,925,000
	FY 1994 --	32,954,000
	Increase --	$ 29,000

This category includes basic pay for all personnel, terminal leave for personnel leaving Government service, overtime, and merit awards. Of the total, about 96 percent is for basic pay, which includes adjustments for anticipated within-grade and merit increases. The decrease associated with the FY 1994 reduction of 16 staff-years is offset by the costs associated with within-grade and merit increases and increased lump sum annual leave costs.

Personnel Benefits		
	FY 1993 --	$ 5,199,000
	FY 1994 --	5,578,000
	Increase --	$ 379,000

This category includes the Government's share of life and health insurance and costs for the Civil Service Retirement System, Federal Employees Retirement System, Thrift Savings, and FICA. The estimates also include $189,000 to cover amounts which must be paid to the Department of Labor under the Federal Employees' Compensation Act. The estimates include change-of-duty-station costs for moving and real estate costs associated with the Office of Compliance and Consumer Assistance's (OCCA) anticipated staffing needs. The decrease associated with the reduction of 16 staff-years is offset by higher health benefit costs, increased moving and real estate costs, and increased transit benefit costs.

Benefits for Former Personnel	FY 1993 --	$ 40,000
	FY 1994 --	$ 40,000
		$ -0-

This estimate reflects a constant level of unemployment compensation costs and the Commission's expectation that no severance pay costs to former employees will be incurred.

Travel and Transportation of Persons	FY 1993 --	$ 732,000
	FY 1994 --	760,000
	Increase --	$ 28,000

Travel funds will be used largely for program travel, the majority of which is performed by personnel in the OCCA. Funding also is included for local transportation costs and rental or lease of passenger vehicles used both for local travel and field site visits.

Transportation of Things	FY 1993 --	$ 10,000
	FY 1994 --	33,000
	Increase --	$ 23,000

These funds are for movement of office furniture and equipment, as well as employees' household goods for changes-of-duty-station. The estimate reflects costs associated with the anticipated OCCA staffing relocations.

Rental Payments to GSA (Space Rental Costs)	FY 1993 --	$ 6,031,000
	FY 1994 --	6,173,000
	Increase --	$ 142,000

Payments are made to the General Services Administration for rental of office space and the costs of certain utilities. A projected 5.8 percent increase in GSA charges for headquarters office space and projected rent adjustments for space occupied by the Commission's field offices account for the increase.

Communications and Utilities	FY 1993 --	$ 1,430,000
	FY 1994 --	1,424,000
	Decrease --	$ (6,000)

The costs included in this category are for local and long-distance telephone service, mail, and copier rentals. The decrease largely reflects reduced penalty mail costs which is offset by increased telephone costs.

Printing and Reproduction

FY 1993 -- $ 335,000
FY 1994 -- 345,000
Increase -- $ 10,000

This includes the cost of printing services provided by the Government Printing Office and by private contractors. The increase reflects inflationary costs.

Other Services

FY 1993 -- $ 3,923,000
FY 1994 -- 3,835,000
Decrease -- $ (88,000)

This category includes costs of computer timesharing services, non-ADP service contracts, training, and a variety of maintenance and miscellaneous services. The decrease reflects a reduction in program-related contracts associated with funding for the optical imaging of tariffs in FY 1993 offset by increased funding for the redesign of the Commission's software systems. A request of $1,897,000 will fund a portion of a multi-year endeavor for the redesign of the Commission's software systems, which are currently operating on a 20-year-old technology and environment. This second step of a multi-year effort for redesigning the current timesharing system and improving the system's operation will incorporate a continuing review of the existing systems and procedures; the definition, development, and implementation of new systems and procedures; and the preparation of a detailed description of the work to be done, together with an implementation schedule. Other increases include training, a projected increase in the guard service contract for headquarters, and inflationary increases in the program-related contracts in the Offices. The increase in funds requested for training over previous fiscal years is primarily due to the changing technology of the Commission's personal computer software, improvement of the managerial and supervisory skills of the Commission's staff, training associated with electronic tariff filing and optical imaging technology, and general administrative and clerical improvement of Commission staff.

Supplies and Materials

FY 1993 -- $ 395,000
FY 1994 -- 404,000
Increase -- $ 9,000

This category includes costs for periodicals and other publications, as well as office, computer, and copier supplies. The increase reflects an inflationary increase in the costs of books, publications, other printed materials, and office supplies.

Furniture and Equipment		
	FY 1993 --	$ 209,000
	FY 1994 --	1,219,000
	Increase --	$ 1,010,000

This estimate includes the costs of purchasing or replacing office furnishings, computers, and administrative equipment which have become obsolete due to age or unreliability. The FY 1994 increase is mainly attributed to the purchase of optical imaging equipment for the Office of Tariffs and purchase of systems furniture for the Fort Worth Field Office.

Tort Claims and Indemnities		
	FY 1993 --	$ 1,000
	FY 1994 --	1,000
		$ -0-

These costs are for indemnities for destruction of property, injury to persons or property, and payments for other losses.

PAYMENTS FOR DIRECTED RAIL SERVICE

If a railroad ceases operations due to a lack of cash, a court order, or an abandonment not authorized by the Commission, the Commission is authorized to direct other railroads to provide service on the lines of that railroad. The directed carrier may or may not be reimbursed for losses incurred and, if reimbursed, paid 6 percent of the gross revenues on the service performed. This authority is limited to an initial 60-day period which the Commission may extend for up to an additional 180 days.

The Commission has exercised this authority under 49 U.S.C. 11125 in a few instances to direct service on lines without reimbursement by the Federal Government. Between June 23, 1988, and February 13, 1989, the Commission authorized the New York, Susquehanna and Western Railway Corporation to provide unsubsidized and noncompensated directed service over the lines of the Delaware and Hudson Railway Company (D&H) while that Company was undergoing Chapter 11 (reorganization) bankruptcy proceedings. Based on the Trustee's inability to resume operations of the Delaware and Hudson at the expiration of the directed service order, the Commission extended the New York, Susquehanna's authority to operate the entire Delaware and Hudson system until March 16, 1989, under a rail emergency provision of the Act (49 U.S.C. 11123(a)).

The Commission's emergency service orders extended through February 28, 1990, when the Trustee resumed full operation of the rail system pending Commission review of an acquisition proceeding by CP Rail. When the Trustee was again forced to suspend operations on July 31, 1990, because of a lack of operating funds, the Commission issued a service order permitting the D&H Corporation, a Canadian Pacific Limited subsidiary, to perform emergency rail service until November 28, 1990, while the D&H Corporation's application to acquire the lines of the D&H was reviewed. The service order was extended at the D&H Corporation's request to allow additional time for consummation of the purchase which took place on January 18, 1991; the service order was vacated February 1, 1991.

The most recent instance of directed rail service occurred January 8, 1993, when the Commission authorized, under 49 U.S.C. 11125, the Great Western Railway Company d/b/a Platt Valley Railway to perform uncompensated directed rail service over lines of the Denver Railway, Inc.; Denver, Colorado; due to a cessation of service by Denver Railway. Directed Service Order No. 1512 expired on March 9, 1993, and subsequently was extended for an additional 180 days through September 4, 1993.

The last significant instance of reimbursed directed rail service occurred between October 5, 1979, and March 23, 1980, when the Kansas City Terminal Railway Company (KCT) provided service over the lines of the Chicago, Rock Island, and Pacific Railway Company. The Congress last appropriated funds for directed service in an FY 1982 supplemental appropriation.

Since no subsidized or compensable directed rail service is anticipated, no funds are being requested for FY 1994.

INTERSTATE COMMERCE COMMISSION

PAYMENTS FOR DIRECTED RAIL SERVICE

Sources and Uses of Funds
(dollars in thousands)

Sources of Funds	FY 1992	FY 1993	FY 1994
Unobligated Balance Available, Beginning of Year	$ -0-	$ -0-	$ -0-
Budget Request	-0-	-0-	-0-
Total Funds Available	$ -0-	$ -0-	$ -0-
Limitation on Obligations	$ 475	$ 475	$ 475

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